Department of Energy

Washington, DC 20585

MEMORANDUM FOR HEADS OF FIELD ELEMENTS

FROM: **Lynwood H. Henderson**
Director Office of Budget

SUBJECT: **Field Chapters of the DOE Budget Formulation Handbook**

This memorandum transmits the most current update to Section I: Field Budget Process of the DOE Budget Formulation Handbook. Enclosure 1 provides a summary of changes to the Chapters. The instructions contained in the Handbook should be read in its entirety to ensure that data submissions are in accordance with revised requirements.

We welcome any comments, suggestions or ideas you may have to make this a more useful document. General questions on the Handbook should be directed to David Bugg on 202-586-4715. Specific questions should be directed to the person(s) listed in the point of contact matrix in the front of each chapter.

Enclosures
cc: Heads of Headquarters Elements
Principal Budget Contacts

Enclosure 1

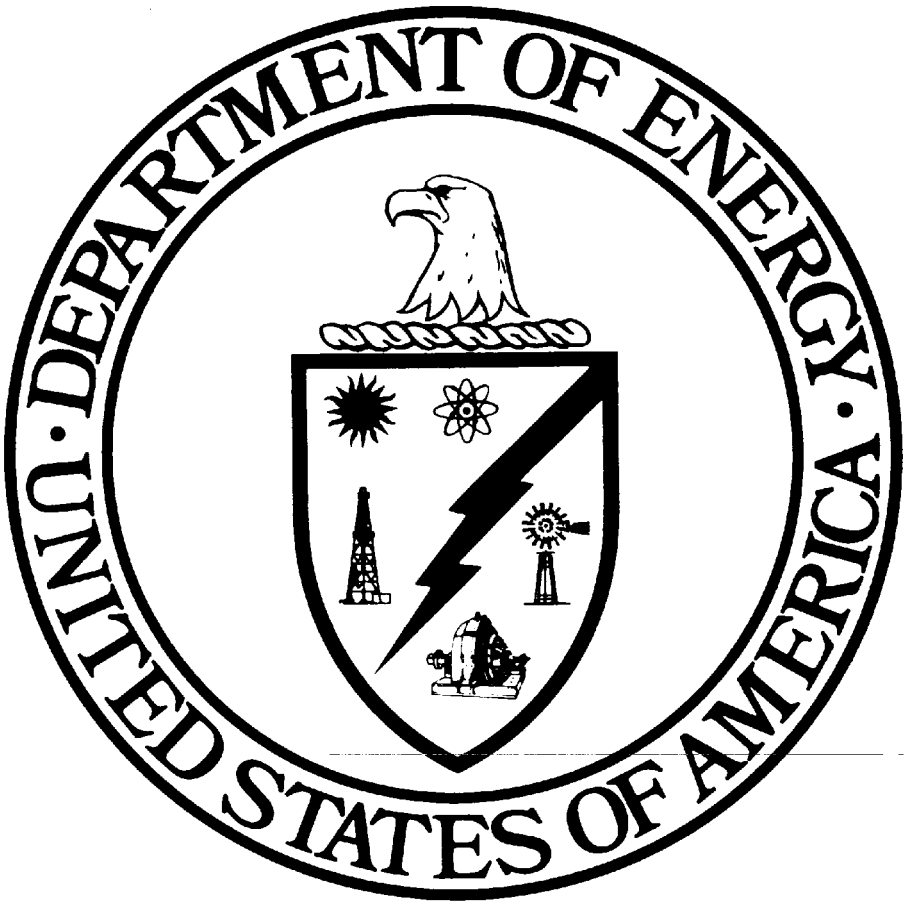
DEPARTMENT OF ENERGY
FY 1999 FIELD BUDGET CALL

(Summary of Changes to Field Section of the DOE Budget Formulation Handbook)

Page No.	Change
I-1.9&10	**Change in Capitalization Threshold**. The Department increased the capitalization threshold to $25,000 effective October 1, 1996.
Deleted	**Summary of Estimates Table** no longer required.
II-2.1	**Program Direction (Federal FTEs only)**. Program Performance Summary will no longer include average FTE cost.
III-2.1	**Uncosted Obligations** reporting will be done at the close of each fiscal year in accordance with the revised policy in the Chief Financial Officers memorandum dated November 8, 1996, subject: Policy on Uncosted Balances.
III-3.1	**Motor Vehicle Statement for FYBY**. Reporting schedule changed to include funding for vehicles requested.
III-5.1	**Cost of Work for Others and Revenues** reporting schedule revised. The "FYCY Revised Request" column is deleted.
Deleted	**In-House Energy Management Program** data no longer required.
III-9.1	**Planned Acquisition of Fixed Assets**. OMB Circular A-11 Part 3, Planning, Budgeting, and Acquisition of Fixed Assets requires all agencies fully fund their fixed asset acquisitions and submit this information with their annual OMB budget request each September. Projects with a life cycle cost of $20 million or more require a written justification.
III-10.1	**Financial Management Activities** reporting schedules have been deleted or revised for FMS Nonconformances, List of Improvements and Milestones, and FMS Description.
III-12.1	**Allocable Costs**. Allocable Costs reporting requirements are eliminated. However, requirements remain for continued review and oversight of accumulations and distribution practices, and monitoring of contractor execution of allocable costs.
IV-2.1	**Safeguards and Security** has additional reporting requirements for Ten Year Program Planning.
IV-3.1	**Information Management** (IM) has reduced the reporting requirements from 3 categories to 1 categories.

January 1997

DEPARTMENT OF ENERGY



BUDGET FORMULATION HANDBOOK

OFFICE OF CHIEF FINANCIAL OFFICER

DOE BUDGET FORMULATION HANDBOOK
SECTION I: FIELD BUDGET PROCESS

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CHAPTER I

INTRODUCTION

1. OVERVIEW

a. Purpose: The primary purpose of Section I: Field Budget Process, the Department of Energy (DOE) Budget Formulation Instruction, is to outline the procedure established by DOE Order 130.1, BUDGET FORMULATION PROCESS, by which budget estimates are to be prepared, documented, and reviewed to ensure that budget requests are of high quality.

b. Guidance: This section of the instruction provides the guidance for the preparation and review of the Field Budget submissions:

(1) DOE Operations Offices are responsible to ensure that their contractors prepare accurate budget estimates to accomplish valid program requirements in the most cost-efficient manner.

(2) All budget requests, including indirect, should be reviewed each year by Operations Office staff, Management & Operating (M&O) contractor staff to ensure reasonableness, consistency with program guidance, and proper pricing.

(3) Operations Office staff should ensure that the M&O contractors subject all estimates to program and budget reviews by someone other than a program advocate to provide assurance that the requests are reasonable and are supported by appropriate documentation.

(4) In coordination with the Heads of Headquarters Organizations and the CFO, the Operations Office should conduct multi-disciplined reviews to validate the cost estimates and reasonableness of all new initiatives and changing programs. “Bottoms-up” reviews of all activities are to be conducted by the Operations Office staff within a reasonable period of time, but not less than every five years.

(5) Unsupported budget estimates disclosed subsequent to the submission of the Field budget to Headquarters must be reported to the CFO and the funding program for adjustments during the Planning-based budget process.

(6) M&O contractors' budget handbooks developed in concert with this document must clearly delineate the roles and responsibilities of the Operations Office budget staffs and the contractor's central budget staff with regard to reviewing and recommending budget adjustments.

(7) As part of the validation process, the Operations Office should conduct reviews of the M&O contractor's budget formulation handbooks and related training programs to determine the extent of compliance with and effectiveness of the budget formulation process.

(8) In addition, during the review process, detailed analyses should be conducted on the current financial status of each activity to include a review of the projected unobligated and uncosted balances.

c. References: While there are a number of references which could be included, the following is a suggested list of key references for the Section I: Field Budget Process of the Instruction:

(1) DOE ORDER 130.1, **Budget Formulation Process**, the DOE order which establishes the unified field budget process and defines the roles & responsibilities of the Headquarters & Field Elements participating in the process and lists all of the key DOE orders and other references which may be useful.

(2) DOE ORDER O 534.1, **and DOE Accounting Handbook.**

(3) DOE ORDER 4700.1, **Project Management System**, which provides guidance for the preparation of documents to support the construction project validation process.

(4) DOE ORDER 4700.3, **General Plant Projects,** provides detailed principles to be followed for the use of GPP projects.

(5) DOE ORDER 5300.1B, **Telecommunications,** which provides information on the acquisition of telecommunications equipment.

(6) DOE ORDER 5700.7B, **Work Authorization System,** which provides information on the preparation of Field Work Proposals and the work authorization and control process.

(7) **M&O Contractors' Budget Formulation Handbooks,** reference each of these handbooks for each M&O contractor under the purview of the Operations Office. This handbook should describe the contractors budget formulation and review process.

(8) **Operations Office Cost Estimating Handbook,** which is used to prepare cost estimates for construction projects.

(9) **Environmental Management Ten-Year Plan Guidance to Field,** this is updated each year and provides guidance on the preparation of the EM Ten-Year Plan which also serves as the budget request.

(10) **Other Program and Budget Guidance Documents,** this is updated annually and provides guidance to Field on the preparation of the budget.

(11) **Field Budget Call,** updated annually and provides guidance to the Field on the preparation of the budget.

d. Definitions: The following is a list of definitions to be included in the instructions. The intent is to keep the list to the minimum used for budget formulation purposes. Additional definitions which may be unique to your particular requirements should be added as required at each Operations office :

(1) **Accrued costs** are amounts owed for items received, services received, expenses incurred, assets acquired, construction performed, and amounts received for which a bill has not been received or approved. (Accrued costs are distinguished from budget outlays in that accrued costs are recorded on the accrual basis of accounting while budget outlays are recorded on the cash basis of accounting. Accrued costs records the accrual of a liability and budget outlays records the payment of the liability net of refunds and reimbursements.)

(2) **Baseline**. An estimate of spending, revenue, the deficit or surplus, and the public debt expected during a fiscal year under current laws and current policy. For the purposes of the Budget Enforcement Act, the baseline is defined as the projection of current-year levels of new budget authority, outlays, revenues, and the surplus or deficit into the budget year and outyears based on laws enacted through the applicable date. Section 257 of Gramm-Rudman-Hollings sets forth rules for calculation the baseline.

CBO Baseline. The Congressional Budget Office's (CBO) baseline for the upcoming fiscal year. This baseline shows the pattern of federal government revenues and expenditures for the next 5 years if current policies continues. It appears in the CBO's annual report for the Budget Committees on the economic and budget outlook for the upcoming year. The CBO baseline is revised, as necessary, once the President's budget is released. It is also modified, as necessary, to conform to new legislative requirements, such as those imposed by the Gramm-Rudman-Hollings Act and the Budget Enforcement Act.

(3) **Budget Authority (BA)**. Authority provided by law to enter into obligations that will result in immediate or future outlays involving Government funds,

except for authority to assure or guarantee the repayment of indebtedness incurred by another person or government. The basic forms of budget authority are appropriations, contract authority, and borrowing authority. Budget authority may be classified by the following:

(a) **Period of Availability**

1 **One-Year (Annual) Authority**. Budget authority that is available for obligation only during a specified fiscal year and that expires at the end of that time.

2 **Multiple-Year Authority**. Budget authority that is available for a specified period of time in excess of 1 fiscal year.

3 **No-Year Authority**. Budget authority that remains available for obligation for an indefinite period of time, usually until the objectives for which the authority was made available are attained or until the funds are fully expended.

(b) **Time of Congressional Action**.

1 **Current Authority**. Budget authority enacted by Congress in or immediately preceding the fiscal year in which it becomes available.

2 **Permanent Authority**. Budget authority that becomes available as the result of previously enacted legislation (substantive legislation or prior appropriation act) and that does not require current action by the Congress. Authority created by such legislation is considered to be current in the first year in which it is provided and permanent in succeeding years. It is possible to distinguish between "fully permanent" authority (such as interest on the public debt), where no subsequent action is required, and "conditionally permanent" authority (such as general revenue sharing), where authority expires after a set period of time unless it is reenacted.

(c) **Determination of Amount**.

1 **Definite Authority**. Budget authority that is stated as a specific sum at the time that the authority is granted. This includes authority stated as "not to exceed" a specified amount.

2 **Indefinite Authority**. Budget authority for which a specific sum is not stated but is to be determined by other factors, such as the receipts from a certain source or obligations incurred.

(4) **Budget Outlays (BO)**. The amount of checks issued or funds electronically transferred, most interest accrued on public debt, or other payments made (including advances to others), net of refunds and reimbursements. Total budget outlays consist of the sum of outlays from appropriations and funds included in the unified budget, less offsetting receipts. The outlays of off-budget Federal entities are excluded form the unified budget under provisions of law, even though these outlays are part of total Government spending. Federal outlays are recorded on the cash basis of accounting, with the exception of most interest on the public debt, for which the accrual basis of accounting is used.

(5) **Budget Year (BY)** is the fiscal year for which the budget is being considered, that is the fiscal year following the current year. For Budget Enforcement Act purposes, the term budget year means, with respect to a session of Congress, the fiscal year of the Government that starts on October 1 of the calendar year in which that session begins. The budget year is the fiscal year for which budget estimates are being developed and is two fiscal years from the current execution year (execution year is the fiscal year in which the budget is being executed). This definition applies to the first three cycles of the budget formulation budget process, i.e, the Field, IRB, and OMB budget. However, for the Congressional cycle, the budget year is only one fiscal year from the execution year. For example, in January of 1994, the execution year is FY 1994 and the Field is starting to work on their budget year estimate for FY 1996; by the time the Congressional cycle for the FY 1996 budget occurs, in December of 1994, the execution year will be FY 1995.

(6) **Contractor Encumbrances** consist of amounts of contracts awarded by the M&Os and the Integrated and Management contractor (IMCs) consisting of (a) purchase orders issued; (b) contracts and subcontracts awarded including the full liability under lease purchases and capital leases; (c) termination cost for incrementally funded firm fixed price contracts, operating lease agreements, and multi-year service contracts that contain termination clauses; (d) other agreements for the acquisition of goods and services related to other M&O/IMC liabilities, and (e) work orders or authorizations issued to M&O/IMC construction contractors.

(7) **Current Year (CY)** is the fiscal year immediately preceding the budget year. It is the fiscal year of the budget currently being considered in Congress. This definition applies to the first three cycles of the budget formulation budget process, i.e, the Field, CRB, and OMB budget. However, for the Congressional cycle, the current year is the fiscal year in which the budget is currently being executed. For example, in January of 1994 when FY 1996 (BY) budget process beings, the execution year is FY 1994 and the FY 1995 (CY) budget in the process of being sent to Congress for consideration; by the time the

Congressional cycle for the FY 1996 budget occurs, in December of 1994, the execution year will be FY 1995 (CY).

(8) **Decision Unit**. For the Department, decision units represent the major program elements of the approved budget structure which is used for formulation and decision-making purposes. A decision unit is usually a subset of an appropriation. A decision unit must be organizationally exclusive (i.e., controlled exclusively by a single Departmental organization). It can, however, encompass an entire appropriation (i.e., Inspector General) but can not be composed of more than one appropriation. A decision unit can consist of operating expenses, or capital equipment, or construction type funding or any combination thereof. It can be a single obligational control or a combination of many obligation controls. A decision unit can include a single B&R or many B&Rs. Furthermore, a large funding amount does not automatically qualify a program entity as a decision unit; although with few exceptions, decision units are generally larger than $1 million, and can be in the hundreds of millions of dollars (as in the Environmental and Defense programs). In summary, a decision unit is simply any major program element so designated in the decision unit listing maintained and distributed by the Office of Budget.

(9) **Direct Costs** are any costs which are (can be) identified with a particular program the first time the costs are charged. These costs are directly charged to a program since they are directly related to and are being incurred principally for the benefit of the program receiving the charges. These costs generally consist of direct labor, materials and supplies.

(10) **Fiscal Year (FY)** is any yearly accounting period, regardless of its relationship to a calendar year. The fiscal year for the federal government begins on October 1 and ends on September 30. The fiscal year is designated by the calendar year in which its ends for example, fiscal year 1992 is the year beginning October 1, 1991 and ending September 30, 1992.

(11) **Fully Loaded Costs** reflect the sum of the direct and allocated indirect costs. For budget formulation purposes fully loaded costs are used to prepare the DOE program estimates. When these costs are incurred they are reported to the Department's Financial Information System (FIS) using the budget and reporting (B&R) classification codes.

(12) **Indirect Costs (Allocable)** are costs that are not identified with a single, specific final cost objective. These costs, collected in cost pools, are distributed or allocated to a final cost objective based on a predetermined methodology. Site overhead costs, service centers, and organizational burden are examples of indirect costs.

(13) **Laboratory Directed Research and Development (LDRD)** represents the Department's independent research and development costs. These are indirect costs which are allocated to all direct programs at the laboratory for independent research and development activities in conformance with the guidelines contained in DOE Order 5000.4A.

(14) **Obligations**. Amounts of orders placed, contracts awarded, services received, and similar transactions during a given period that will require payments during the same or a future period. Such amounts include outlays for which obligations have not been previously recorded and reflect adjustments for differences between obligations previously recorded and actual outlays to liquidate those obligations. All obligations must be supported by written documentation or law.

(15) **Outyear** is any year (or years) beyond the budget year for which projections are made.

(16) **Prior Year (PY)** is the fiscal year immediately preceding the current year and two fiscal years preceding the budget year. It is the fiscal year in which the budget is being executed. This definition applies to the first three cycles of the budget formulation budget process, i.e, the Field, CRB, and OMB budget. However, for the Congressional cycle, the prior year is the fiscal year in which the budget has been closed-out. For example, in January of 1994 when FY 1996 (BY) budget process beings, the execution year is FY 1994; by the time the Congressional cycle for the FY 1996 budget occurs, in December of 1994, the execution year will be FY 1995 (CY) and the FY 1994 (PY) budget has been closed.

(17) **Recharge or user costs** are costs for a service such as the computer center, or the engineering department which are charged out to either direct programs or indirect programs on the basis of services provided at a predetermined rate which reflects the costs for the provision of the services.

(18) **Reprogramming** is shifting funds within an appropriation or fund account to use them for different purposes than those contemplated at the time of appropriation (for example, obligating budgetary resources for a different object class from the one originally planned). While a transfer of funds involves shifting funds from one account to another, reprogramming involves shifting funds within an account.

Reprogramming is generally preceded by consultation between federal agencies and the appropriate congressional committees. It often involves formal notification and opportunity for congressional committees to state their approval or disapproval.

(19) **Review** is an exercise to assess the contractor's planning and budgeting documentation to understand the reason for an activity, what resources are being requested and why the resources are needed, and how the basis for the estimates was developed.

(20) **Total Estimated Cost (TEC)**. The total estimated cost of a construction project is the gross cost of the project, including the cost of land and land rights; engineering, design, and inspection costs; direct and indirect construction costs; and the cost of initial equipment necessary to place the plant or installation in operation, whether funded out of operations or plant and capital equipment appropriations. It should be noted that in recent years Congress has authorized amounts for construction projects exclusive of amounts for construction planning and design. In these cases the amount authorized is used as a base for total estimated costs, even though it does not include planning and design costs.

(21) **Total Project Cost (TPC)** consists of all the costs included in the TEC of a construction project plus the pre-construction costs such as conceptual design and R&D, plus the costs associated with the pre-operational phase such as training and start-up costs.

(22) **Uncosted Obligations** are the results of legal obligations incurred for which goods and services not yet been provided.

(23) **Validation** is an exercise involving the comprehensive examination of the contractor's documentation to evaluate the supporting documentation for the activity, verify the resources requested and their necessity, and test the estimates developed and verify the reasonableness of the contractor's scope requirements.

e. Background: This section has been left intentionally blank. The section will be provided at a later date once the roles and responsibilities of the Office of Laboratory Management and the Associate Deputy Secretary for Field Management have been clearly established.

f. Key Budget Concepts: The purpose of this section is to provide guidance on the proper use of the budget categories in formulating budgets. The Department's budget for most programs is divided into three funding categories: Operating Expenses, Capital Equipment (not related to a construction project), and Construction. The exception is for programs funded under the Energy and Water Development appropriation (EWD). Effective FY 1996, funds supporting General Plant Projects (GPP), Capital Equipment (CE), and most Accelerator Improvement Projects (AIP) contained in EWD are merged and budgeted with operating funds. This change was made to allow greater flexibility for the Department’s laboratories

and facilities in allocating resources for operations and infrastructure activities, and at the same time retain the capability for adequate program management by Headquarters DOE Secretarial Offices. The EWD committee further expects to be kept informed of specific details related to GPP, CE, and AIP and other operating expense funded construction-related costs in the Department's annual budget justification. Additionally, the EWD committee directed that the Department continue to account for obligations and costs at levels which identify GPP, CE, and AIP and other operating expense funded construction-related costs.

(1) **Operating Expenses**: Operating expenses are normally used to budget for operational activities and includes such expenses as labor, travel, training and small dollar items which are not intended to be capitalized (i.e., less than $25,000 and a useful life of less than 2 years).

(a) There are some exceptions for those programs whose budget structure provides for operating expenses funding only, such as the Environmental Restoration Program, Strategic Petroleum Reserve and Naval Petroleum Reserves. These programs generally use operating expenses to fund capital equipment and construction projects. When operating expenses are used to budget for construction projects, a project data sheet is required for all projects in excess of the limitation on General Plant Projects (GPP), currently $2 million.

(b) Another exception is the lease purchase of telecommunications equipment which is considered to be the provision of utility services and is funded annually using operating expenses.

(2) **Capital Equipment not Related to Construction**: This budget category provides for capital equipment not related to a specific construction project, including the costs for installing the equipment. Field budgets should contain a detailed listing of the equipment being requested, and indicate whether it a new item of equipment or is to replace existing equipment. The Congressional budget submission which is prepared by Headquarters will normally only identify major items of equipment over $2.0 million.

(3) **Differentiating Between Capital Equipment and Construction Projects**: In most cases, the equipment can be installed with little or no significant installation costs or construction activities required. However, in some cases the equipment requires significant construction activities to function such as the provision of foundations, utilities, and structural modifications and additions to a building. As a general rule, construction funds should be used when these construction activities constitute more than 20 percent of the costs of the equipment, or when the construction activities exceed the GPP limitation.

(4) **Projects Funded Out of Construction Funds**: Normally, projects which result in the construction of a structure or facility having a useful life of 2 years or more are funded out of capital funds in either a line-item project, or in a GPP project if under the Congressional limitation for GPP projects (currently $2 million). These are identified under the construction funding category and a construction project data sheet is prepared for the submission of the budget.

(a) Refer to Chapter 3, paragraph 7., for a complete description of the procedures to be followed to prepare project data sheets. Note that Item 10 of the project data sheet contains the Total Estimated Cost (TEC) portion of the project. These costs consist of all the costs necessary to design, construct and outfit a facility or structure. Generally, these costs are comprised of the capital costs plus the initial complement of low value (less than $25,000) furnishings which, while not meeting the capitalization criteria, are necessary to provide a complete and useable facility.

(b) Item 12(a) of the data sheet contains the Total Project Cost (TPC) portion of the project. TPC consists of all the costs in the TEC plus the pre-construction costs such as conceptual design and R&D, plus the costs associated with the pre-operational phase such as training and start up costs.

(5) **Projects Funded Out of Operating Expenses**:

(a) Operating expenses are used to fund construction projects which have an expected life of less than two years since these projects will not be capitalized on the books. Examples are experimental facilities which are expected to be used for less than two years. It is important that project data sheets be prepared for all projects with a Total Estimated Cost (TEC) in excess of the GPP limitation which is currently $2 million.

(b) Similarly, programs that only have operating expense funding such as the Environmental Restoration or the Strategic Petroleum Reserve, or Naval Petroleum Reserves, should prepare project data sheets for all construction-type projects with a TEC of $2 million or more.

(c) The project data sheets for projects funded out of operating expenses are prepared in exactly the same way as the data sheets funded from construction funds, except that item 2.b. of the project data sheet is changed to reflect operating expenses as the source of funds. Item 10 of the data sheet should encompass those costs which are directly associated with the construction phase of the project (TEC) and Item 12 should contain all the costs from conceptual design through start-up (TPC).

(6) **Grouping of Construction Projects**: In the interest of minimizing the number of individual data sheets, smaller projects can be grouped together to form a larger single data sheet whenever the activities are site-wide and constitute a theme, such as the construction of utilities. In these cases separate sub-projects should be described in paragraphs 8 and 9 of the data sheet along with the TEC, funding profile, and start and completion of construction schedules.

(7) **Environmental Restoration Projects**:

(a) The EM Environmental Restoration Program (EM-40) is funded entirely by Operating Expenses, and this funding is utilized for traditional operating-type expenses, capital equipment, and construction-type efforts. This is an approach used for environmental cleanup activities which evolved prior to the creation of the EM Program in late 1989. Past Non-Defense cleanup Non-Defense efforts were budgeted in this manner since the early 1980's. When the Defense cleanup activities were separately established, they were also budgeted for in this manner. The focus of these activities is the cleanup of contaminated facilities and sites, which is largely under the Federal and State regulatory control and which involves far more uncertainty than traditional construction-type activities.

(b) Starting with the FY 1994 Congressional Budget submission, Environmental Restoration activities will be further justified using Operating Expense Funded Project Data Sheets. These data sheets must be consistent with the EM Ten Year Plan and the supporting Project Baseline Summary (PBS). These will provide accountability and control in the budget process that is essentially the same as that for construction projects. All activities will be subject to standardized review, routine reports, periodic meetings, and high-level DOE decisions for key milestones. The data sheets and supporting documentation developed as part of the validation process will be used for validation of budget requests. These documents will itemize the various equipment and traditional construction-type efforts included in the annual site cleanup activities.

(c) All EM-40 activities, except Headquarters efforts, have been grouped into 17 Major System Acquisitions (MSAs)/Major Projects (MPs). Field Offices should submit project data sheets for all EM-40 efforts under their cognizance. For those sites receiving funding from different appropriation accounts (Defense and Non-Defense) separate data sheets will be required. As discussed previously, please include additional subproject details in Section 8 and Section 9 of the EM-40 MSA/MP

data sheets to reflect construction-type items. This separate description needs to include a funding profile, schedule, and TEC for the particular subproject.

2. **BUDGET VALIDATION PROCESS**:

a. Purpose: To evaluate planning, development, baselines and funding prior to inclusion of a new project or system acquisition in the DOE budget or seeking increased funding for a prior project or system. It requires a review of project planning and conceptual development documentation, as well as discussion with the program or Operations Office and principle contributing contractors to determine the source basis, procedures, and validity of proposed requirements, scope, cost, schedule, funding, and so forth. Findings and recommendations resulting from the validation process will be provided for use in the annual budget formulation.

b. Type of Reviews: There are two types of budget reviews that are required to validate a budget justification. These are program reviews and pricing reviews. Program reviews are conducted by qualified Operations Office personnel in coordination with the Headquarters Program staff, to ensure that the program guidance has been followed and to validate the reasonableness of resources and the programmatic assumptions upon which the estimates are based. Resources include quantity of hours required, quality of labor (staff level assigned), quality & materials, need for subcontracts, and other direct costs. Results of program reviews should be given to the Operations Office CFO. The Operations Office CFO with the assistance of available Headquarters CFO staff and Program Organizations representatives should conduct pricing reviews to validate the reasonableness of cost estimates. These pricing reviews should verify that adequate reviews have been conducted by the M&O contractor staff and adequate backup documentation is maintained in support of the estimates. Ideally, both the pricing reviews and the program reviews should be conducted at the same time to ensure the highest quality of the budgets and to minimize the impact on the M&O contractors' staff.

c. Preparation for the Reviews: Before conducting the reviews it is important that all members of the review team understand how the contractors' budget formulation system works. This should all be documented in the contractor's budget handbook which will be maintained in Chapter 8 of the Field Section of the Budget Formulation Instruction as a reference document. This subject should also be covered in the Operations Office Training program for budget and program analysts.

d. Establishing a Baseline: It is important that in validating the resources requested that the current financial status be understood and considered. This means that the reviewers should analyze the current and projected costing rate, the planned obligational schedule and develop projections of year-end unobligated and uncosted balances to determine if excess funds are expected to be available to offset the requirements for new budget authority.

e. Sample Questions: The validation questions listed on the following pages are to provide you with sample questions for you to consider when performing a budget

validation. The list is by no means exhaustive and some questions may not apply to each and every validation situation.

(1) **Review of Uncosted and Unobligated Balances**.

(a) What are the estimated uncosted and unobligated balances projected to be available. Have they been used to offset the budget year requirements?

(b) In determining the funding requirements for the budget year have efforts been made to minimize the carryover uncosted and unobligated balances?

(2) **Budget Instruction Review**.

(a) Is instruction updated, maintained and followed in the validation process?

(b) Are written procedures available (i.e., budget records, management policy)?

(c) Are your roles and responsibilities clearly defined?

(d) Is there complete budget formulation training?

(e) How is management's role defined in the procedure?

(f) What is your validation process (i.e., committee reviews, management reviews, site office reviews)?

(g) Is a change control process used in updating budgets in order to keep them current?

(3) **Program Budget Guidance**.

(a) Was the guidance given to M&O contractor timely/late?

(b) Was guidance broken down by decision unit?

(c) Was the guidance complete, clear, and specific?

(d) Do you actively seek guidance when the proper organization fails to provide the necessary guidance for development of work scope/estimates?

(e) Does the guidance contain a schedule for work completion?

(f) Does the schedule provide time for review of work performed?

(4) **Work Scope Validation Guide**.

(a) Why is the proposed activity (or components of the activity) necessary? What are the major drivers?

1 If necessary, is the proper technical expertise and staff level assigned to get the job done? How was this determined?

(b) What are the scope changes since approval of the previous budget?

1 What is the basis for the changes and the effect on cost and scope?

2 Are changes traceable in supporting documents?

(c) How do you know that the cost and schedule estimates are accurate and reasonable?

1 Contingencies should be kept to a minimum, and are generally used for construction projects. If contingencies are built into the estimates do they reasonably reflect the level of confidence in the scope of work, development features, pricing methodology, and complexity of work?

(d) Is the work scope appropriate and consistent with DOE guidance?

(e) What are the major constraints/uncertainties in accomplishing the work scope?

1 What is the degree of uncertainty attached to each major constraint?

2 Based on the constraints or uncertainties how likely can the work scope be achieved within the stated cost and schedule?

(f) What are the alternatives? Is there a better, more cost effective way to get the job done? How would the alternatives affect cost and schedule?

(g) Has the work scope been reviewed/approved by contractor management or other parties independent of those responsible for preparing or

executing the budget? By whom? Was the review documented? What changes resulted from the review?

(h) Is the scope of work adequately defined?

(i) Are prior year accomplishments identified?

(j) Are there interfaces/prerequisites on which the accomplishment of work is dependent?

(k) Are interface agreements in place (e.g.landlord versus program responsibilities)?

(l) Does the program have an established baseline?

(m) Are regulatory concerns identified?

(n) If an activity is growing significantly from one year to the next, is the ramp up reasonable and achievable and does it represent the most efficient application of resources?

(o) Are level of effort changes and cost growth above inflation uniformly explained and justified?

(p) Is the work scope prioritized to a level which will aid in decision making if budget reductions occur?

(q) Are safeguards and security activities identified?

(r) Have all environmental, safety and health needs been identified, as required and anticipated?

(s) Are narrative goals and budget funding plans consistent with the institutional plan and strategic plan?

(t) Are impacts of funding reductions adequately addressed?

(u) Is the work scope adequately documented?

(v) Where applicable, is the work identified consistent with the program Work Breakdown Structure (WBS)?

(w) Are cost accounts and work packages logical subdivisions of the total program work scope?

(x) Does the scope of work of each cost accounts include all of the work scope identified for the program?

(y) Is the requirement for the work to be performed internal (DOE-program driven) or external (Work for Others)?

(z) Is the work to be performed internally or externally?

(aa) Does the required work scope duplicate work being performed elsewhere in the Department?

(ab) Does the final work scope estimate reflect the complexity of the program and represent an accurate assessment of the funds necessary to accomplish the stated technical objectives?

(5) **Milestones Guide**.

(a) Are milestones listed for each year? If not, is this appropriate?

(b) Are the milestones measurable? Do they reflect the proposed work scope?

(c) Do the milestones and completion dates support the work schedule? Are the dates dictated by Presidential Initiatives, Energy Policy Act of 1992, etc.)?

(d) Are milestones achievable per the schedule identified?

(e) Are deliverables associated with milestones identified?

(6) **Cost Estimate Validation Guide**.

(a) What cost "options" were considered in accomplishing the technical program for the minimum expense?

(b) Does the final estimate reflect the complexity of the program and represent an accurate assessment of the funds necessary to accomplish the stated technical objectives?

(c) Has the estimate been documented and will it withstand audit scrutiny?

(d) When was the estimate prepared?

(e) Who prepared the budget (cost estimate)?

(f) Have the estimates been reviewed by parties independent of those responsible for preparing or executing the budget? Was the review documented? What changes resulted from the review?

(g) What major assumptions were used to arrive at the cost estimate?

1 What is the degree of uncertainty attached to each major constraint or assumption (low, moderate, high)?

2 Source? (e.g, historical data, vender quotes, industry standard, comparable tasks, etc. -- be specific.)

3 How are you sure your cost estimates are accurate and reasonable?

4 What escalation rates were used? Valid sources?

5 How was the estimate developed (i.e., trends, “bottoms-up”, incremental change in work, etc.)? When was the last “bottoms-up” estimate performed?

6 Is current estimate reconciled back to the previous estimate?

(h) Determine the major changes from last year's budget requirements.

1 What are the key drivers for the changes, such as, technical, regulatory compliance, escalation, and new baseline information? Does the budget justification reflect these drivers?

(i) What cost models or automated budget programs were used to develop the estimates? Have they been verified/validated?

(j) Are estimates formulated within the requirements of all applicable DOE Orders (e.g., DOE Order 4700 for Project Management Systems, DOE Order 130.1 for the Budget Formulation Process)?

(k) Review the documentation supporting the budget estimates.

1 What technical documents were used to develop the estimates?

2 Randomly select various cost elements and determine the components which build the estimates. Assess whether the documentation appears sufficiently detailed to support the estimate.

(l) Are material, labor costs, escalation, and overhead costs well documented? Where did they come from?

(m) Are all unit costs, vendor quotes~ all assumptions (e.g.resource availability) well documented?

(n) Schedules and milestones: Are all tasks sufficiently explained and documented in work papers and do cost estimates reflect these tasks?

(o) Are contingency costs reasonable and well documented in supporting documents?

(7) **Indirect Costs**.

(a) What oversight procedures are implemented for evaluating indirect cost resources requirements in the budget?

(b) Are indirects applied consistently to all programs. If not, why?

(c) Is proper oversight of indirects being performed?

(d) To what level of detail are indirect reviews being performed?

(e) Who is doing the review?

(f) Are specific cost pools consistent with Cost Accounting Standards?

(g) Is there any evidence of inappropriate or unallowable costs being incorporated into OH cost pools?

(h) Is the methodology and rationale for allocating the various indirect cost pools to direct programs reviewed and assessed for consistency with Cost Accounting Standards?

(i) What documentation exists for indirect cost accumulation and allocation (backing up budget formulation estimates)? Is the documentation adequate to support/manage/control indirect costs?

(j) Is this documentation routinely reviewed for oversight and evaluation purposes?

(k) Describe in detail the current process by which indirects are presented, reviewed, justified and approved?

(l) Are midyear reviews conducted on actual indirect costs? Are adjustments made as a result?

(m) Are significant changes in indirect costs explainable/ justifiable/supported/documented?

(n) Are any costs charged to indirects that should have been charged to direct programs (or vice versa)?

(o) Is there any evidence of "taxing" to supply funds for unbudgeted programs/activities? What is the justification? How are the taxes being applied and for what are they used?

(p) What actions have been taken to correct improper charges to indirects?

(8) **M&O Full-time Employees (FTEs) Guide**.

(a) Identify and justify FTEs and type of personnel required (e.g, engineers versus technicians).

(b) Are FTEs justified or zero-based analyzed?

(c) Are year-to-year staffing increases justified?

(d) Are the staff hours budgeted reflective of the time needed to accomplish particular tasks?

(9) **Non-labor**.

(a) Are all non-labor requirements identified/explained?

(b) Are changes in non-labor activity from one year to the next justified?

(c) Are multi-year commitments covered (current plus the out years)?

(10) **Long-range Planning**.

(a) How does the proposed work fit within the priorities of the program?

(b) Is the work included in institutional/strategic plans?

(c) Are issues/resolution of issues included in the appropriate planning package?

(d) Has work package documentation been completed on all requested funding?

(11) **Capital Equipment**.

(a) Have equipment requirements been identified and budgeted through the programs?

(b) Have installation costs and procurement costs been included as part of the estimate?

(c) Have funding determinations (capital versus operating) been performed where necessary?

(12) **Construction**.

(a) Are the requirements of DOE 4700 (Project Management System) being followed?

(b) Have the estimates been formulated based on DOE O 130.1 (Budget Formulation Process)?

(c) Have GPP estimates been formulated based on DOE order 4700.3?

(d) Have short form data sheets been prepared for proposed construction efforts?

(e) Are adequate dollars identified for advance planning/conceptual design?

(f) Does schedule allow the time necessary for environmental documentation/reviews?

(g) Have funding determinations (capital versus operating) been made consistent with DOE funding policy?

(h) Are impacts of funding reductions adequately addressed?

(i) Are all agreements in place, e.g., for example landlord versus program responsibility?

(j) Does the conceptual design call for the inclusion of energy conservation features to minimize life cycle costs as required by DOE Order 6430.1A, GENERAL DESIGN CRITERIA?

(k) Is the project shown on the latest approved site master plan?

(l) For projects already under design will the design be reviewed by an independent energy expert as required by the Secretary's memorandum of November 12, 1991 subject: Policy on Energy Efficient Technologies in DOE Facilities?

(13) **Operating Expenses**.

(a) What budget execution procedures are in place to ensure proper allocation, authorization and control of operating funds?

(b) What review process is followed to ensure that the utilization of operating funds complies with DOE policy and congressional intent?

(c) How is excess funding recognized and utilized?

(d) What procedures are followed for the authorization of redirection of funds for unbudgeted programs?

(e) If applicable, what percentage of your total operating and capital funding is directed to Laboratory Directed Research and Development (LDRD)? How is LDRD funding being utilized? Is it consistent with DOE Order 5000.4A?

(f) Where have you found improper financial management of operating dollars? What did the improprieties entail? What corrections were proposed? Were the corrections made? If not, why not?

(14) **Leases**.

(a) Are lease-purchase analyses performed for every lease entered into and are you following the recommendation of the analyses?

(b) Are you following the guidance established in OMB Circular A-11 and the DOE Budget Formulation Order?

(c) Are there situations where decisions to lease were based on the shortage of funds rather than on economic considerations?

(d) What arrangements/options are available in the lease-to-ownership leases and which ones will be exercised? Do any of these leases involve real estate?

(e) When it has been determined that there has been improper use of leases, or improper funding of leases, what measures are taken to correct the problem?

(15) **Budget Validations, in General**.

(a) What procedures were followed in conducting the budget validation review?

(b) Does the budget validation review follow the policies promulgated in DOE 2200.13, OVERSIGHT OF INTEGRATED CONTRACTOR FINANCIAL MANAGEMENT?

(c) Who has conducted the review? Were the Operations Offices, PSOs, programs, etc. involved? What approach was used (team, by individual office, etc.)?

(d) Are validation reviews being tied into the budget formulation process at both the contractor and field level?

(e) Were validation reviews performed on operating, capital and plant funded projects?

(f) Are additional reviews needed on line item construction projects in light of the fact that they already should have gone through Headquarters Project and Facilities Management validations?

(g) Describe plan developed for conducting bottoms-up reviews on a random sampling basis.

(h) Are cost estimates for on-going projects subject to the same level of review as they are for new starts? What are the differences?

(i) Are the actual programmatic requirements for the program or project being validated in the review process?

(j) Are indirect funded activities included in the budget validation process?

(k) Was there adequate documentation on cost estimates for a quality validation to be performed?

(l) What level of confidence do you have that your validation resulted in good and accurate information (i.e., 80-100% of questions answered fully equates to high level of confidence, 50-80% of questions answered fully

equates to adequate level of confidence, 30-50% of questions answered fully equates to marginal level of confidence, and 0-30% of questions answered fully equates to low to no level of confidence)? If your confidence is low, what is the next step?

(m) What is the impact on the Operations Office staffing requirements as more staff is needed to perform the validation reviews?

(n) Were estimates subject to extensive review by non-program advocates?

(o) Are estimates reviewed at the contractor level prior to submission to the Operations Office?

(p) What checks and balances are in place to assure unbiased validations?

(q) Are reviewing officials given the authority to require/make changes to correct insufficiencies that they find during the validation review? If not, who has the authority to implement changes?

3. **REQUIREMENTS FOR GOOD BUDGET JUSTIFICATION**: The purpose of this section is to describe the minimum kinds of information which are necessary for well justified budget requests, whether Field Work Proposals (FWPs), EM Program Baseline Summary (PBS), or other documents are used. These documents should contain the following types of information:

   a. The overall objectives of the program and specific Headquarters organization guidance.

   b. Discrete milestones and associated funding.

   c. The accomplishments planned for the current year as well as the scope of the work planned for the budget year. The scope should clearly describe what will be done with the funds being requested in the budget year and how the work will be accomplished.

   d. The need for the proposed level of effort. (While a continuing activity normally requires less justification than a new activity, there is still a need to justify on-going activities.)

   e. The basis for the estimates including the key assumptions which drive the resource requirements.

   f. If different funding levels are requested, clearly describe what will be bought for the additional funds above the target or guidance level and justify why the additional funds are warranted.

   g. If capital equipment is requested, identify all large items of equipment, specifying whether or not the equipment is for replacement and why it is required.

   h. If construction projects are required, indicate in the operating expense portion of the justification the importance of the facility to the program objectives, focusing on the timing of the facility requirement.

   i. If a structure or facility is being proposed to be funded out of operating expenses, indicate the basis for not using construction funds.

   j. Based on validation reviews, an assessment of the level of confidence for the budget estimate should be assigned (i.e., low, medium or high confidence).

4. **REQUIREMENTS FOR GOOD BUDGET DOCUMENTATION**: This section describes what constitutes good backup documentation. Good documentation should explain in detail how the estimates were developed unless the basis is fully explained in the primary budget justification document (i.e., FWP, PBS, etc.). The level of documentation depends upon the nature of the work. For example, if the work involves continuation of on going basic research at the same level of effort as the previous year then extensive backup documentation may not be necessary. However, if new initiatives or changing programs are requested, detailed documentation which will allow the reviewer to fully understand how the estimates were developed should be provided.

5. **PERFORMANCE MEASUREMENT**:

a. Introduction. Beginning with the FY 1995 Planning-based budget, the Department began conversion to performance-based budgeting and continued with inclusion of performance indicators in DOE's FY 1995 OMB and Congressional budget requests. This means Headquarters program organizations will be expected to submit their budget requests that support strategic goals and objectives, include quantified output measures and related outcomes. To achieve this, field budget submissions need to provide definitive performance measurement information that provides a supportable base for the Headquarters program budget requests. To successfully development of performance-based field submissions will require both broad conceptual guidance and program specific guidance. This section provides general guidance that defines the overall process, basic concepts and anticipated results. Program specific guidance is intended to supplement this general guidance and provide needed information such as, program goals and objectives, performance measurement metrics and guidelines on the level and type of reporting desired. Specific guidance is provided with program budget guidance (see Field Budget Call programmatic guidance section).

b. Background. The Secretary of Energy has directed the Department to expeditiously adopt performance based budgeting. Optimally, this meant that FY 1996 funding decisions were made utilizing performance-based budget data and the intent was to fund more results-oriented high priority programs. The adoption of performance-based budgeting by the Department was designed to be consistent with provisions of the Government Performance and Results Act (GPRA) of 1993. The primary difference between DOE's conversion and GPRA is timing. The Secretary expects the Department to be at the forefront of conversion to performance based budgeting by Federal agencies. Everyone was expected to make their "best effort" for the FY 1996 budget cycle in adopting the change. Refinements to complete the transition Department-wide are to be made during subsequent cycles.

c. Definitions. Key terms used in this performance measurement guidance are provided below:

(1) **Strategic Plans** - either at the Department or program level is a broad statement of primary goals and objectives such that their successful accomplishment results in achieving ultimate missions results.

(2) **Goal** - is a quantifiable statement of a desired major end mission result.

(3) **Objective** - is a quantified statement of an end result which significantly contributes to the accomplishment of a goal.

(4) **Performance-Based Budgets** - budget that are stated in objective quantifiable and measurable terms what will be achieved or accomplished at a certain level of funding.

(5) **Metrics** - are the unit of the measurement used to indicate the performance of a particular activity.

(6) **Performance Indicators** - is a quantified or measured expression of successful advancement towards or achievement of a desired goal or objective.

(7) **Output or Output Measure** - is a quantitative expression of a tangible product that results from a certain level of activity.

(8) **Outcome or Outcome Measure** - is an assessment of activity results compared to the intended end result or purpose of the activity.

d. What Is Meant By Performance-Based Budgets. In general, performance-based budgeting means that DOE budgets will be appropriately modified or expanded to state in objective, quantifiable and measurable terms what will be achieved or accomplished for a certain level of resources, i.e., the outputs for a certain level of input. These budgets will relate to strategic plans, and reflect anticipated outcomes. It is intended that the same performance indicators will be used in budgets and related documents such as strategic plans, performance plans and performance reports. All DOE organizations are expected to prepare performance-based budgets. Performance measurement data are to be incorporated into the same justification exhibits currently being utilized by the Department, such as Overviews, Key Activity Summaries and Project Data Sheets. Programs that by their nature have a range of activity levels will need to indicate the different performance outputs and outcomes associated with variances in funding and activity levels.

e. What Is Expected From Field Elements (i.e., Operations and Field Offices) and M&O Contractors. As indicated above, for FYBY Field Elements are to follow both the general guidelines presented in this section and complementary guidance provided by program organizations (See FIELD BUDGET CALL, programmatic guidance section). Unless specifically directed by program guidance, Field Elements are to submit the same basic budgetary exhibits as in prior years. These exhibits are to be modified or expanded as necessary to include performance-based budgeting information. In particular, narrative statements and descriptions should indicate to the extent practical which goals and objectives are being supported and include quantified output and outcome performance measures. Probable exhibits to be modified for reporting performance information are field work proposals, activity data sheets and project data sheets.

f. Adhering To The FIELD BUDGET CALL Process. As outlined below, preparing and submitting performance-based budget data should not alter the overall FLYBY Field Budget Call process. The process steps in developing performance-based budgets are as follows:

(1) A key preliminary step is development of strategic plans. Both Department level and major program strategic plans have been developed to provide priority goals and objectives to Field Elements. Program level strategic plans are to directly support goals and objectives of the Department's strategic plan. To the extent possible field submissions should identify and indicate strategic program goals and objectives supported.

(2) In conjunction with development of program level strategic plans, Headquarters program organizations must prepare program budget and planning guidance for inclusion in the Field Budget Call. This guidance should provide available performance indicators and metrics information, and describe the level and type of performance data to be submitted.

(3) Field development efforts formally begin with issuance of the Field Budget Call and subsequent distribution of guidance by Operations Offices to M&O Contractors.

(4) Headquarters Elements are encouraged to provide clarification of program guidance and assistance through Operations Offices budget personnel to the M&O Contractors.

(5) Upon completion of development efforts, Operations Offices perform normal review and validations of M&O contractors budget requests prior to submission to Headquarters in mid-April. This should include an assessment of performance in relation to requested resources.

(6) In April, the Secretary issues the Five-year Budget and FTE Guidance.

(7) In June/July timeframe, Secretarial Officers submit draft Budget and FTE input to the Office of Budget.

(8) In July, the Secretary meets with each Assistant Secretary by business lines.

(9) In August, final decisions are made and the budget is prepared in final to OMB.

g. Basic Concepts, Principles and Assumptions. This section addresses a number of different subject areas related to preparing performance-based budget submissions. The guidelines presented herein are intended to apply to the initial field budget

process. Program planning and budget guidance is to supplement the governing concepts presented below:

(1) DOE budgets will continue to be predominately program oriented. That is, submissions to OMB and Congress will present and support direct funded program activities.

(2) Most supplementary and crosscut materials including allocable cost exhibits are exempt from performance-based reporting requirements except as specifically noted in guidance provided in the Field Budget Call. Project data sheets (except for GPP) are to appropriately include two items of performance measurement data beyond that normally reported. Item 9 of the data sheets is to: (1) additionally indicate what program planning objectives the project benefits/supports, and (2) in quantifiable terms, indicate the type and amount of work to be completed during the budget year. This information is to be provided at the appropriate level.

(3) All DOE programs are expected to prepare performance-based budgets. This year's field process is to focus on DOE's major outlay programs that rely heavily on field data to prepare budget requests.

(4) Field budget submissions are to reflect outputs and outcomes based on anticipated target level funding. Program budget guidance should indicate to Field Elements any different funding options, cases, ranges, etc. that are to be applied to their program activities and corresponding budget submissions.

(5) Performance indicators are required for each of the three fiscal years (PY, CY and BY) that are shown in most budget exhibits. Outputs and outcomes are to be individually stated in quantified annual amounts.

(6) Field Elements are not required to link 100% of their budget to a particular strategic goal or objective of the Department or that of a major outlay program. An example of an activity not linked could be general administrative or support costs where the need is obvious and justified and where there are no obvious goals or objectives that apply. The strategic plans goals and objectives are not available for program direction, staff functions and many of the Department's smaller programs and budget activities. The presumption is that most Field Elements should be able to prepare and link a high percentage of their requests to goals and objectives of DOE's major programs. (**NOTE: It is important to note that even though some activities or costs in field budget submissions will not directly link to a particular major program goal or objective, Field Elements are expected to make a good faith/best effort of providing quantified performance indicators in all budget requests.**)

(7) Closely related to linkage is metrics. Examples of potential metrics are completed production units, tests conducted, BTUs saved, buildings decontaminated, completed construction, etc. Ideally, common metrics should be consistently applied to particular goals and objectives. Having common metrics facilitates linkage by easily allowing integration and roll up of field level budget requests into consolidated segments of Headquarters program budgets. Major outlay programs must provide in their program budget guidance the preferred metrics to be used for activities related to a particular goal or objective. To the extent metrics have been provided they should be used. In situations where the type of measurement is not specified, Field Elements may determine and use a metric that reasonably indicates and measures performance. (**NOTE: It is anticipated that your initial field input will be extremely valuable to Headquarters organizations in determining specific metrics to be used in future cycles**).

(8) To be meaningful, performance measurement data submitted to Headquarters needs to be accurate and reflective actual expected performance. It is unknown at this time to what extent Field Elements may be required to report actual FY BY performance results. Eventually such results will be reported on a regular annual basis.

h. Additional Information.

(1) Field Elements are encouraged to contact their Headquarters program organizations early in the process to resolve uncertainties and to obtain needed programmatic information/clarification.

(2) General questions related to performance based budgeting should be directed to David Bugg Office Budget, on (202) 586-4715. General questions concerning strategic planning should be directed to Bill Kennedy, Office of Policy, Planning and Program Analysis, on (202) 586-0423.

6. **FEDERAL STAFFING**: The Office of Human Resources and Administration (HR) is responsible for developing and implementing policies and procedures for budgeting, allocating and monitoring the utilization of Federal Full-Time Equivalents (FTEs). In carrying out its staffing budgeting responsibilities, HR prepares and issues separate staffing data calls, analyzes staffing requests and provides recommendations to the Secretary on the deployment of FTEs to carry out the Department's programs and mission.

CHAPTER II

PRIMARY SUBMISSION MATERIALS

1. **INTRODUCTION**. Primary submission material comprises three basic budget exhibits which generally summarize the total budget request of a laboratory, facility, or contractor. Each request package submitted shall contain the five basic exhibits, which are: (a) summary of estimates tables; (b) project data sheets; and (c) field work proposals (FWP's), activity data sheets (ADS), or Ten-Year Plan (TYP). Other submission requirements are discussed in Chapters 3 and 4 of this Instruction. Each of the three primary submission exhibits is discussed below.

2. **PROGRAM DIRECTION (Federal FTEs only)**. Conference Report 104-293 accompanying the FY 1996 Energy & Water Development (EWD) Appropriations Bill (H.R. 1905) criticized the Department for not budgeting for federal employees in a consistent manner throughout the complex. Using existing budget materials, it is difficult to determine where each employee is located and the costs associated with each. To alleviate these discrepancies, the report directed that each organization have one program direction line within each appropriation account for all Full-Time Equivalents (FTEs), both field and headquarters. The Conference Report also directed that object class cost information be provided. To comply with these reporting requirements, all Operations Offices that receive program direction funding under EWD appropriations must prepare and submit Figures II-2a through 2d according to the guidance provided below. This information will be used by Headquarters organizations to comply these new congressionally mandated reporting requirements.

   a. Program Performance Summary (Figure II-2a).
   A separate Program Performance Summary must be prepared for program direction funding for each organization within a given appropriation. For example, the Oak Ridge Operations Office is required to prepare three Program Performance Summaries for the Energy Supply Research and Development appropriation for the Offices of Nuclear Energy, Energy Research, and Environment, Safety and Health. Only one Program Performance Summary is required for the Departmental Administration appropriation. The standard format for the Program Performance Summary is described below.

   Section I - "Mission Supporting Goals/Ongoing Responsibilities"
   This section should describe the purpose of the program direction and the specific activities funded under the following four categories: Salaries and Benefits, Travel, Support Services, and Other Related Services. All funding associated with program direction must be reported in one of the four categories. Definitions for these categories are provided at the end of this guidance.

Section II - "Funding Tables"
Program direction funding must be reported in obligations by site (Operations, Area, Support and Project Office), by program (Basic Energy Sciences, Magnetic Fusion), and the four categories (Salaries and Benefits, Travel, Support Services, and Other Related Services) for each of the three fiscal years (PY, CY, BY). The FTEs associated with the program must also be reported.

In addition to site, program, FTE and category data, the funding table includes an average FTE cost for each program at each site. The last group of entries on the table displays total program direction funding by category, and FTEs. The total column provides program direction funding by category, and FTEs.

An adjustment line shall be used to reflect deobligations, start and/or end of year unobligated balances in any of the fiscal years. The amount in the adjustment line is then subtracted from (or added to) the organization's grand total line to calculate Budget Authority (BA). Footnotes must be used to describe the type of adjustment and the amount.

Section III - "Performance Summary"
During the "lessons learned' meeting with EWD committee staff on the FY 1997 Congressional Budget Request, staff noted that the "Performance Summary" section was not very helpful because it simply described many of the obvious ongoing activities that are funded in program direction (e.g., "provide personnel compensation including salaries and benefits for 310 full-time equivalents"). Committee staff directed the Department to condense this section to describe those activities that readily are quantifiable and substantively justify the need for federal staff and the resources to support such staffing levels. Therefore, care should be taken to identify and describe the oversight/management activities performed and the programmatic problems that could occur in the absence of DOE oversight/management. Describe if the program is staffing up or down, reducing or increasing support service contracts or working capital activities, by how much and <u>why</u>. Explain if severance or voluntary separation incentive payments are being funded, including the number of FTEs affected and the estimated cost.

Section IV - "Explanation of Funding Changes from FY 19CY to FY 19BY"
Changes should be explained in terms of total category levels (i.e., Salaries and Benefits, Travel, Support Services, and Other Related Costs) for the organization as well as for specific programs. Net changes in categories (e.g., Other Related Expenses) should be broken out by the specific increases or decreases of subordinate activities.

b. <u>Object Class Summary (Figure II-2b)</u>.
A separate Object Class Summary must be prepared for program direction funding for each organization within an appropriation. For example, Albuquerque

Operations Office must prepare three Object Class Summaries for the Other Defense Activities appropriation for the Offices of Nonproliferation & National Security, Worker & Community Transition, and Fissile Materials Disposition. Object Class categories that are not used for all three fiscal years may be deleted to simplify the schedule. Adjustment lines shall be used to reflect deobligations, start and/or end of year unobligated balances in any of the fiscal years. These amounts are then subtracted from (or added to) the organization's total obligations to calculate Budget Authority (BA).

c. Detailed Support Services Schedule (Figure II-2c)
Organizations that fund support service contracts are required to prepare and submit a detailed breakout of such contracts. The schedule should be prepared according to the definitions provided below.

d. Detailed Related Expenses Schedule (Figure II-2d)
Organizations are required to prepare and submit a detailed breakout of other related expenses. This schedule should be prepared according to the definitions provided below.

Definitions of Program Direction Categories:

Salary and Benefits - (Object Class categories 11.1 through 13.0)
Salary includes compensation for regular salaries and wages paid directly to civilian full-time permanent and other than full-time permanent employees, other payments that become a part of the employee's basic pay rate (e.g., geographic differentials and nationwide pay raises) and other personnel compensation such as overtime, holiday pay, Sunday pay, and cash incentive awards.

Benefits include cash allowances for relocation and other expenses related to permanent change of station (PCS) and payments to funds for the benefit of employees. Such payments include the employer's share of employee retirement, health and life insurance, accident compensation, Federal Insurance Contribution Act taxes, and Federal Retirement Thrift Savings Plan. Includes annual $80 payments to the civil service retirement fund for currently employed CSRS and FERS personnel , as required by the Federal Workforce Restructuring Act of 1994. Also, includes payments to subsidize the costs of civilian employees commuting by public transportation.

Benefits also includes payments for former employees such as severance pay to employees involuntarily separated, and voluntary separation incentives. Includes payments to the unemployment fund, payments of 9 percent of final basic pay to the civil service retirement fund for employees who took the early-out or buy-out authority, and payments to the employees health benefits fund for annuitants.

Travel - (Object Class categories 21.0 and 22.0)

Travel includes funding for the transportation of Government employees, their per diem allowances while in authorized travel status, and other expenses incidental to travel that are to be paid by the Government either directly or by reimbursing the traveler. Travel also includes transportation of things, for the care of such things while in process of being transported, and for other services incidental to the transportation of things. An example, would be the transportation of household goods related to permanent change of station (PCS).

Support Services - (Object Class category 25.1)
As a part of the Strategic Alignment Initiative, support services were grouped into the following two categories:

Technical Support Services - includes funding for services which include, but are not limited to, determining feasibility of design considerations; development of specifications, system definition, system review and reliability analyses; trade-off analyses; economic and environmental analyses which may be used in the Department of Energy's preparation of environmental impact statements; test and evaluation, surveys or reviews to improve the effectiveness, efficiency and economy of technical operations.

Management Support Services - includes funding for services which include, but are not limited to, analyses of workload and work flow; directives management studies; automated data processing; manpower systems analyses; assistance in the preparation of program plans; training and education; analyses of Department management processes; and any other reports or analyses directed toward improving the effectiveness, efficiency and economy of management and general administrative services. This category also includes clerical and graphics support services.

Other Related Expenses - (Object Class categories 23.1 through 24, 25.2 and 25.3, 25.7, 26.0, and 31.0)

Other Related Expenses includes all program direction costs not reported under Salaries and Benefits, Travel or Support Services. Specifically, this category includes payments for rental space, telecommunications, utilities and miscellaneous charges, printing and reproduction, other services (e.g., tuition), operation & maintenance of equipment, purchases of goods and services from government accounts, supplies and materials, and equipment.

DEPARTMENT OF ENERGY
FY BY FIELD BUDGET REQUEST
CHICAGO OPERATIONS OFFICE

ENERGY SUPPLY, RESEARCH AND DEVELOPMENT
OFFICE OF ENERGY RESEARCH PROGRAM DIRECTION
(Tabular dollars in thousands, Narrative in whole dollars)

I. Mission Supporting Goals/Ongoing Responsibilities:
Program direction provides overall direction and administrative support for Energy Research programs to ensure that all operations are conducted in the most efficient manner consistent with national science and technology policy....

Program direction has been grouped into four categories:

- Salaries and Benefits (Object Class categories 11.1 through 13.0) provides compensation for X full-time FTEs and X part-time FTEs....

- Travel (Object Class categories 21.0 and 22.0)....

- Support Services (Object Class category 25.1).....

- Other Related Expenses (Object Class categories 23.1 through 24, 25.2 and 25.3, 25.7, 26.0, and 31.0).....

II. FY 19PY Funding Table:

	Total	Chicago Operations Office	Princeton Area Office	Brookhaven Area Office	Chicago Support Office
Biological & Environmental Research					
Salary and Benefits					
Travel					
Support Services					
Other Related Expenses					
Total	$	$	$	$	$
Full Time Equivalents					

Figure II-2a
Program Performance Summary

II. FY 19PY Funding Table (cont'd):

	Total	Chicago Operations Office	Princeton Area Office	Brookhaven Area Office	Chicago Support Office
Magnetic Fusion					
Salary and Benefits					
Travel					
Support Services					
Other Related Expenses					
Total	$	$	$	$	$
Full Time Equivalents					
Basic Energy Sciences					
Salary and Benefits					
Travel					
Support Services					
Other Related Expenses					
Total	$	$	$	$	$
Full Time Equivalents					
Total Energy Research					
Salary and Benefits					
Travel					
Support Services					
Other Related Expenses					
Grand Total	$	$	$	$	$
Full Time Equivalents					
Adjustments					
Budget Authority					

Figure II-2a

Program Performance Summary

II. FY 19CY Funding Table:

	Total	Chicago Operations Office	Princeton Area Office	Brookhaven Area Office	Chicago Support Office
Biological & Environmental Research					
Salary and Benefits					
Travel					
Support Services					
Other Related Expenses					
Total	$	$	$	$	$
Full Time Equivalents					
Magnetic Fusion					
Salary and Benefits					
Travel					
Support Services					
Other Related Expenses					
Total	$	$	$	$	$
Full Time Equivalents					
Basic Energy Sciences					
Salary and Benefits					
Travel					
Support Services					
Other Related Expenses					
Total	$	$	$	$	$
Full Time Equivalents					
Total Energy Research					
Salary and Benefits					
Travel					
Support Services					
Other Related Expenses					
Grand Total	$	$	$	$	$
Full Time Equivalents					
Adjustments					
Budget Authority					

Figure II-2a

Program Performance Summary

II. FY 19BY Funding Table:

	Total	Chicago Operations Office	Princeton Area Office	Brookhaven Area Office	Chicago Support Office
Biological & Environmental Research					
Salary and Benefits					
Travel					
Support Services					
Other Related Expenses					
Total	$	$	$	$	$
Full Time Equivalents					
Magnetic Fusion					
Salary and Benefits					
Travel					
Support Services					
Other Related Expenses					
Total	$	$	$	$	$
Full Time Equivalents					
Basic Energy Sciences					
Salary and Benefits					
Travel					
Support Services					
Other Related Expenses					
Total	$	$	$	$	$
Full Time Equivalents					
Total Energy Research					
Salary and Benefits					
Travel					
Support Services					
Other Related Expenses					
Grand Total	$	$	$	$	$
Full Time Equivalents					
Adjustments					
Budget Authority					

Figure II-2a

Program Performance Summary

III. Performance Summary	**FYPY**	**FYCY**	**FYBY**
Salaries and Benefits:			
Streamlined organizational elements at Brookhaven Area Office by eliminating xx (third-tier) components in the Basic Energy Sciences program.			
Conducted independent peer reviews for xx projects in Energy Research, Fossil Energy and Energy Efficiency to determine quality of the science and its relevance to DOE's mission and the national science agenda.			
Reviewed and implemented nuclear safety requirements contained in the Price Anderson Amendment Act of 1988.			
Prepared policy and plans for laboratory infrastructure management as required by the Energy Policy Act of 1992.			
Total Salaries and Benefits	$xxxx	$xxxx	$xxxx
Travel:			
Will institute travel ceilings in accordance with Secretarial initiative to accomplish a total reduction of $ xx in travel costs.			
Total Travel	$xxxx	$xxxx	$xxxx
Support Services:			
Conducted training for xx FTEs for use of the new Energy Research wide area network (WAN) for more efficient transfer of science data between Headquarters and Field.			
Will train xx FTES for use of the new Energy Research wide area network (WAN) for more efficient transfer of science data between Headquarters and Field.			
Total Support Services	$xxxx	$xxxx	$xxxxx
Other Related Expenses:			
Will continue to downsize ER field staff by xx percent and contractual services by xx percent consistent with strategic alignment initiative and Congressional direction.			
Total Other Related Expenses	$xxxx	$xxxx	$xxxx

Figure II-2a
Program Performance Summary

IV. Explanation of Funding Changes FY CY to FY BY:

Decrease of $ xx in Salaries and Benefits is due to a reduction of xx FTEs in Magnetic Fusion.	$xxx
Increase of $ xx in Training is the result of additional training required for nuclear safety at Princeton Area Office consistent with Price Anderson Act.....	xxx
Net decrease of $ xx in Other Related Expenses is due to a 20% reduction in travel consistent with Secretarial strategic realignment initiative (-$xx), an increase of $ xx in capital equipment for the purchase of three replacement copiers, and five replacement facsimile	xxx
Total Funding Change	$xxxx

Figure II-2a
Program Performance Summary

DEPARTMENT OF ENERGY
FY BY FIELD BUDGET REQUEST
CHICAGO OPERATIONS OFFICE

ENERGY SUPPLY, RESEARCH AND DEVELOPMENT
OFFICE OF ENERGY RESEARCH PROGRAM DIRECTION
(Dollars in thousands)

		FY PY	FY CY	FY BY
Direct Obligations:				
11.1	Full-time permanent	$	$	$
11.3	Other than full-time permanent			
11.5	Other personnel compensation			
11.8	Special personnel services payments			
11.9	Total Personnel Compensation	$	$	$
12.1	Civilian personnel benefits			
13.0	Benefits for former personnel			
21.0	Travel and transportation of persons			
22.0	Transportation of things			
23.1	Rental payments to GSA			
23.2	Rental payments to others			
23.3	Communications, utilities, and miscellaneous charges			
24.0	Printing and reproduction			
25.1	Advisory and assistance services			
25.2	Other services			
25.3	Purchases of goods & services from Gov't accounts			
25.7	Operation and maintenance of equipment			
26.0	Supplies and materials			
31.0	Equipment			
99.0	Subtotal, Direct Obligations	$	$	$

Figure II-2b
Program Object Class Summary, EWD

		FY PY	FY CY	FY BY
	Reimbursable Program	----------	----------	----------
99.9	Total, Obligations	$	$	$
		======	======	======
	Recovery of prior year obligations			
	Unobligated balance avail, start of year			
	Unobligated balance avail, end of year			
	Budget Authority	$	$	$
		======	======	======

Figure II-2b
Program Object Class Summary, EWD

Support Services Detail	**FY 19PY ($000)**	**FY 19CY ($000)**	**FY 19BY ($000)**	**FY 19BY/FY 19CY Change ($000)**
Technical Support Service				
Feasibility of Design Considerations	$xxx	$xxx	$xxx	$xxx
Econmic and Environmental and Environmental Analysis	xxx	xxx	xxx	xxx
Test and Evaluation Studies	xxx	xxx	xxx	xxx
Subtotal	$xxxx	$xxxx	$xxxx	$xxxx
Management Support Services				
Management Studies	xxx	xxx	xxx	xxx
Training and Education	xxx	xxx	xxx	xxx
ADP Support	xxx	xxx	xxx	xxx
Subtotal	**xxx**	**xxx**	**xxx**	**xxx**
Use of Prior-Year Balances	xxx	xxx		
Total Support Services	**$xxxx**	**$xxxx**	**$xxxx**	**$xxxx**

Figure III-2c
Support Services Expenses Schedule, EWD

Other Related Expenses Detail	**FY 19PY ($000)**	**FY 19CY ($000)**	**FY 19BY ($000)**	**FY 19BY/FY 19CY Change ($000)**
Training				
Printing and Reproduction	xxx	xxx	xxx	xxx
Rental Space	xxx	xxx	xxx	xxx
Software Procurement /Maintenance Activities/Capital Acquisitions	xxx	xxx	xxx	xxx
Other	xxx	xxx	xxx	xxx
Subtotal	**$xxx**	**$xxx**	**$xxx**	**$xxx**
Use of Prior-Year Balances	xxx	xxx		
Total	**$xxxx**	**$xxxx**	**$xxxx**	**$xxxx**

Figure II-2d
Other Related Expenses Schedule, EWD

3. **FIELD WORK PROPOSAL OR ACTIVITY DATA SHEET**.

a. Most work proposed for funding in FYBY is described in either a FWP, or Environmental Restoration and Waste Management (EM) Ten-Year Plan (TYP). DOE 5700.7C, WORK AUTHORIZATION SYSTEM, establishes a formal process for authorizing and controlling work performed by management and operating contractors. The Order applies to all work financed from operating funds including capital equipment not related to construction, but exempts line item construction projects (paragraph 4. of this Chapter), materials regularly produced for sale (-cost of work for other- section 5. of Chapter 3) and major system acquisitions or major projects (DOE 4700.1). DOE 5700.7C contains the FWP format which is to be used for all activities requesting funding in FYBY. It should be referenced for guidance in preparing these documents.

b. TYP's are used in lieu of FWP's for EM activities regardless of funding source, i.e., operating expense, or plant and capital equipment. Project data sheets must also be submitted for construction activities whether operating expense or line item funded. Specific format and instructions to meet these requirements are contained in the EM TYP.

4. **PROJECT DATA SHEETS**.

a. General.

(1) Project data sheets are required to explain and justify to Congress the need for real property capital improvements regardless of the funding source (operating or construction expense). They are the primary documents used to defend funding for construction projects throughout the budget formulation process. Project data sheets shall be developed and submitted for new project efforts and for any ongoing projects which require Congressional authorization and/or appropriation in the budget fiscal year. Data sheets and conceptual design reports are required prior to project validation. Only validated projects are considered for funding in the **Corporate Review Budget (CRB)** process. There should be no overlap in funding requested in construction project data sheets and funding in Field Work Proposals.

(2) Project data sheets present the description, justification, and cost data for all capital projects that exceed the dollar threshold of $2,000,000. See subparagraph 4.e. for instructions and formats for reporting and requesting funding for General Plant Projects (GPP) and Accelerator Improvement Projects (AIP) of less than $2,000,000 total project cost.

(3) Include in the Total Estimated Cost of a capital project all costs in connection with the addition and/or retirement of plant and equipment (including transferred equipment and materials), land, improvements to land, buildings (including permanently attached equipment), utilities, and initial movable equipment, such as machine tools, laboratory and office furniture, and equipment, necessary to outfit a building or group of buildings for operation. Exclude initial stocks of spare parts or other materials and supplies which are initially chargeable to inventories.

(4) Each project shall be assigned to the appropriate organizational component.

b. Project Accounting Requirements.

(1) All new projects must proportionately share site overhead/landlord cost. It is important that project cost estimates include and reflect this full proportionate share of these indirect costs. **Capital projects started after FY 1994 are affected by the following guidance:**

> **Cost Accounting Standards require that indirect costs be allocated to cost objectives in reasonable proportion to the causal and beneficial relationship of these costs to cost objectives. For purposes of allocating indirect costs to DOE construction/capital projects, this would mean that (in addition to fringe and organizational burden) an equitable share of all general and administrative and other site wide common support activities would be charged to all cost objectives, regardless of the type of funding. In most, if not all, instances, this would result in the application of the same overhead/indirect rate to**

both operating and construction/capital projects. However, this does not preclude the use of a different rate if there are cost centers/costs which are material and do not have a causal and beneficial relationship to construction/capital projects.

(2) The budgets for operating expenses (OE), plant acquisition and construction (PL), and capital equipment not related to construction (CE) should be prepared so as to be consistent with the accounting treatment as prescribed in DOE O 534.1 and the DOE Accounting Handbook, Chapter 10, PLANT AND CAPITAL EQUIPMENT, Section 1. INTRODUCTION, Paragraph 1.d. Capitalization Criteria. DOE capitalization criteria requires that all property, plant and equipment with an initial acquisition cost of $25,000 or more and an estimated service life of two years or greater shall be capitalized and reported in the financial statement. Below are guidelines to be used in simplifying the determination as to where the acquisition of land, facilities, or equipment should be budgeted:

(a) Items of capital equipment for which the Department will retain title, which cost $25,000 or more, have an expected service life of two years or more, and are not required to complete a construction project, shall be budgeted for as capital equipment not related to construction.

(b) Items of capital equipment not related to construction required for experimental projects shall be budgeted from operating expenses if it is expected that the equipment will be destroyed during the experiment or will have no further value other than scrap upon completion of the experiment.

(c) Budget plant and capital equipment funds for the following:

1 All land acquisition (fee or easement).

2 All constructed facilities and capital equipment necessary to provide a complete and operable facility.

3 *Exception*. Facilities or equipment which meet the definition of research and development, and which normally have an estimated life of less than three years, may be budgeted for as operating expenses. Regardless of the budget source or classification of funds, R&D facilities and equipment that meet the capitalization criteria shall be capitalized.

(3) The leasing of facilities and equipment is permissible when it is in the best interest of the Government to do so.

(a) *Lease With Option to Purchase*. When a lease contains an option to purchase, the lease payments may have to be capitalized.

(b) *Lease Purchase Agreements*. Agreements which provide for transfer of title at the end of the lease term or for the transfer of title by exercise of an option at a nominal sum unrelated to the value of the property at the time the option

is exercised, are considered installment purchases. Such installment purchases have to be capitalized.

(4) For additional clarification, refer to the definitions for Budget and Reporting Classifications 35, Capital Equipment Not Related to Construction, and 39, Plant Acquisition and Construction.

c. Preparation of Project Data Sheets.

(1) DOE is required by law to obtain Congressional authorization for the appropriation of funds. Insofar as practical, the development and review of the project to be submitted to the Congress for authorization will be undertaken as an integral part of the regular budget process, both internally and through OMB. Project data sheets shall be prepared and submitted for all projects requiring authorization or appropriation in the budget year.

(2) A data sheet should be an objective document written from the standpoint of the Department as a whole rather than as one segment of the Department. Personal pronouns, building and area numbers, identification of staff personnel, and unsubstantiated value judgements should not be used. A data sheet should be self-sufficient. It should avoid the use of technical terms that have a special connotation in industry or science, and should not depend on the reader having access to other documents.

(3) The scope of the project shall be set forth in the data sheets in detail sufficient to permit a careful review and evaluation of the project. The data sheet items should not, however, be stated so precisely as to preclude the exercise of appropriate latitude by the manager in the actual design and construction of the project, as described in the data sheet, after authorization and appropriation of the funds.

(4) Project data sheets are to be prepared as illustrated in Figures II-2.1, Significant Changes and II-5.2, Project Data Sheet. These examples are for illustration purposes and the amount of space or length required should be adjusted for full presentations under each section. The examples contain all the data elements required in actual project descriptions.

(a) A project data sheet shall be submitted for each new plant or facility and for each addition involving the construction, modification, or improvement which is estimated to cost $2,000,000 or more. Project data sheets for "Operating Expense Funded" projects with a total estimated cost of $2 million or more shall also be prepared. Capital projects costing less than $2,000,000 shall be requested and funded as GPP. See subparagraph 5.e. in this chapter of the Handbook for instructions and formats for reporting and requesting funding for GPP.

(b) Data sheets for the multiprogram general purpose facilities program will be submitted for those projects selected by the multiprogram general purpose facilities review committees.

(c) The construction of a number of similar or related units, under a specific program, may be submitted on a consolidated basis as a single project, i.e., the construction of a group of facilities for a specific reactor. Consolidated project data sheets shall identify subprojects as follows:

1 Separate subprojects shall be used to identify items that are not at a single location.

2 Separate subprojects shall be identified for items at the same location that require separate Architect and Engineering (A-E) work, or for which initial funding will be requested in different fiscal years, or where funding will be the responsibility of different decision units, or that have construction activity start or end dates in different fiscal years.

3 Project data sheet for a consolidated project will identify as subprojects items that would have required designation as a subproject based on the criteria of subparagraph (c)2 above when changes in the funding, schedule, or actual performance dictate.

(5) An additional line in the Heading will follow the fiscal year and budget cycle identification line if Projects transmitted in the last budget to Congress have changed data or text.

(a) The Decision Unit title that the Project supports will be shown in the Heading. If the Decision Unit title is subordinate to a Program title, the Program title (and any additional intervening titles) will be shown above the Decision Unit title.

(b) Continuation information will be included on every page after the first page. The designation (Continued) will be appended to all continuation information.

1 The Heading will appear only on the first page.

2 A two line identification consisting of Section 1. and 2. with a top and bottom ruler will be on every page after the first.

3 The Section Number and Section Title and Subsection letter and Subsection Title will be the first line after the project continuation identification.

(c) The Heading in the Significant Changes Sheet is identical to that in the Project Data Sheet with the exception of the line indicating that changes from the last Congressional submission have a redline. The Significant Change Sheet should contain only changes from the previous submission to the Congress that are **significant**. If needed, the heading will include the notation that tabular dollars are in thousands and narrative material is in whole dollars.

(6) In even numbered budget years, Projects funded from the National Defense Budget Function (050) will append data for the BY+1 in brackets (for example, the budget year 1996 request will show: FY 1996/[FY 1997] for column headings and $xx,xxx [$zz,zzz] for dollar amounts). However, brackets will not be used in the Heading.

(7) Information for Major Systems Acquisition (MSA) or Major Project (MP) projects will be in agreement with the project plan baseline document. Only directed changes (i.e., directed by Congressional action) or Energy Systems Acquisition Advisory Board (ESAAB) approved changes are to be identified.

(8) For Environmental Restoration (EM-40) projects under the Assistant Secretary for Environmental Restoration and Waste Management, the following definitions shall apply for each MSA unless a different precedent has been established:

(a) Total Estimated Cost (TEC): This term will not be used for EM-40 projects.

(b) Total Project Cost (TPC): The cost included in the most current EM-40 Five Year Plan or in an approved Baseline Document which sums all previous costs plus projected costs for the next five fiscal years. The TPC shall include all associated Other Project Costs for this period. If certain projects which extend beyond the EM-40 Ten Year Plan have approved baselines in place, they shall be used in their entirety.

(9) Significant changes (project or subproject TEC, TPC, construction end date, or scope adjustments) are to be clearly identified.

(a) Project changes between the present Project Data Sheet and the Project Data Sheet transmitted in the last budget to Congress will be explained in Item 8.

(b) During initial Field update of Project Data Sheets previously submitted, the term “last budget to Congress” shall refer to the OMB budget request and modifications directed in the final budget allowances. Subsequent to the budget request to Congress, Project Data Sheets will be revised to insure changes between the Congressional budget request and any update in the Field budget request are identified.

(c) Figure II-4.1 summarizing the major changes to a Project Data Sheet will be placed in front of the Project Data Sheet. The explanation of changes in Figure II-4.1 should be limited to a single page. Any more extensive explanation of the changes should be placed in Item 8.

(d) All elements of the project description (Item 8 of the Project Data Sheet) that have been added, deleted, or modified since the last budget to Congress will have a “Redline indicator” (a vertical line in the left margin).

(10) Footnotes should be used sparingly. Do not footnote within the text. It is distracting to have to leave the text to read the footnote. Include all necessary discussion in the text. Project TEC, TPC, and completion date require explanations in the narrative of Item 8 of the Project Data Sheet. Thus, footnotes on these three categories elsewhere are redundant and may be inconsistent.

(11) The following detailed instructions govern the preparation of project data sheets, Figure II-4.2:

(a) **Item 1**, Title, and Location of Project.

1 Each project title must be unclassified.

2 Project titles shall be sufficiently short and descriptive to permit ready reference and shall not be changed after a project number has been assigned.

3 In typing project titles, an initial capital letter shall be used for the first word in the project title and for proper names.

4 The location of the project shall be given. For consolidated project data sheets at more than one location, the term Various Locations shall be used. Do not show the predominate location in such cases.

5 The funding program decision unit is indicated in the data sheet header. If the project is under consideration by more than one program, identify alternate funding programs in Item 1.

(b) **Item 2a and 2b**, Project Number and Funding Type. New project numbers shall be issued by the Budget Operations Division (CR-13) for new projects in each budget year, showing the year, the organization, and the sequential number of the project which also indicates appropriation for organizations with multi-appropriations. Project numbers shall be assigned soon after receipt of data sheets at Headquarters. Only properly assigned numbers shall be used to identify projects. The type of funding for the project, either Operating Expense or Construction, will be shown in item 2b.

(c) **Items 3a and 3b**, Date A-E Work Initiated (Title I design start scheduled) and A-E Work (Title I and II) Duration. Insert the fiscal quarter and year in which A-E work for Title I design began or is to be initiated and the duration of Title I and II design in months. Do not assume "start" of a budget year project prior to the start of FYBY. The most realistic dates possible should be shown based on the status of conceptual work, assuming availability of funds at the beginning of the budget year. **For EM-40 projects only, items 3a and 3b should be titled "Date Assessment Phase Initiated" and "Duration of Assessment Phase" correspondingly.**

(d) **Items 4a and 4b**, Date Physical Construction Starts and Ends. Insert the date (fiscal quarter) construction activity started or is to be initiated and date which construction activity is expected to be completed. These dates shall be the earliest start date and the last completion date of all subprojects identified. Include dates for construction cost recordation start and end, beneficial occupancy, completion of final punch list, and operational start dates in Item 8 below. **For EM-40 projects only, items 4a and 4b should be titled "Date Cleanup Phase Starts/Started" and "Date Cleanup Phase Ends" correspondingly.**

(e) **Item 5**, Previous Cost Estimate.

1 Insert the last Federal total estimated cost (TEC) and the Federal total project cost (TPC) which has previously been submitted to Congress. Escalation factors approved by the Office of Project and Program Management will be used in preparation of project cost estimates.

2 If the project has not previously been submitted to Congress then the word "none" should be shown.

3 EM-40 projects shall enter see TPC for TEC.

(f) **Item 6**, Current Cost Estimates. Insert the current Federal total estimated cost (TEC) and the current Federal total project cost (TPC). TPC is further described in Item 12 (a). For projects that contain subprojects, the TEC shall be the sum of the TEC for all subprojects less any Non-Federal contribution(s). EM-40 projects shall enter see TPC for TEC.

(g) **Item 7**, Financial Schedule. For all projects, indicate, by fiscal year, the amounts for appropriations, adjustments, obligations, and costs. The tabulation should be consistent with the project schedule dates as shown in Items 3a, 3b, 4a and 4b. The total of the appropriation plus adjustments columns, the obligations column, and the costs column shall be equal and agree with the TEC in Item 6, "Current Cost Estimate." Financial schedules should reflect all funding for the project from its beginning and must be reconciled to the Departmental Primary Accounting System (DPAS) i.e., Financial Information System (FIS) and Funds Distribution System (FDS).

1 Section 7 of Figure II-4.2 is an example of a financial schedule as required for all projects.

2 The FIS Plant History report only provides a total of five year segments (four individual years previous to the current execution year aæän aggregate amount for all other years) thus, amounts for years earlier than the budget year minus 6 years (BY-6) are combined.

3 The Appropriation and Adjustments columns for all past years and the current execution year must be identical to the Office of Budget FDS Base Table amounts for the Project.

4 Footnotes must be shown for all amounts in the Adjustments column. A reference to a reprogramming must identify the Office of Budget Reprogramming Number. Other adjustments must cite the authority (supplemental or rescission, the Public Law; deferral, the Presidential deferral number; etc.). If multiple adjustments occurred in a year, the footnote must list the individual amounts and authorities. Additionally, do not footnote the year, place the footnote on the amount being explained.

5 The Obligations and Costs columns for all past years must be identical to the FIS Plant History Report amounts. The obligations column for the current execution year will be identical to the latest FDS Approved Funding Program (AFP) amount.

6 The current execution year Obligations and Costs and the Appropriation, Obligations, and Costs for the budget year and beyond will be in agreement with the approved baseline for MSA and MP projects.

(h) **Item 8**, Project Description, Justification and Scope. This item should state clearly, but concisely, the essential features of the project, indicating whether it is a new facility, modification of existing facilities, or addition to existing facility. In describing facilities, code words, if used, should be identified as such. Any unusual technical terms should be explained when used in project descriptions. Describe the following physical aspects as applicable. The description should read such that easy correlation can be made with the cost estimate given in Item 9. If the project contains subprojects, describe each subproject using the same aspects after a general introduction of the overall project.

1 If the data sheet shows both a previous cost estimate and a current cost estimate in lines 5 and 6 of Figure II-4.2 explain the factors involved in determining the revised estimate. The explanation shall also be provided on the Significant Changes cover sheet, Figure II-5.1.

2 Describe improvements to land and, where this item constitutes a major portion of the project, include information such as the approximate length, width, and types of roadways, approximate capacities of parking areas, and any proposed drainage structures and fencing.

3 Describe each building or building addition, including approximate floor plan dimensions, gross area, number of stories, story heights, basement, if provided; types of construction and reason for using such if

not obvious; types of heating and air-conditioning; capacities of cranes and any design, fabrication, or construction features which are unusual or specialized and have a significant impact on the cost estimate, such as shielding, protective construction, hot cells, or special ventilation systems, environmental protection systems, and fire protection systems.

4 Describe other structures, such as pits, tunnels, towers, bunkers, stacks, and other enclosures not included in subparagraph (h)3 above.

5 Describe types of utilities to be provided, such as water, sewer, and power, and where this item constitutes a major portion of the project, include information such as the length and size of the utility lines.

6 Describe any special facilities, such as accelerator components, movable shielding, vacuum systems, processing piping, power or controls, reactor vessels, inert gas, hydrogen or purging systems, or cryogenic systems.

7 Describe any standard equipment included in this project, such as office and laboratory furniture and equipment, hoists, and machine tools.

8 Describe any computer system or component of a computer system having a total estimated purchase cost of $2,000,000 or more. A brief justification and explanation of the rationale for utilizing construction funds shall be provided.

9 For those projects not receiving full appropriation in this year's budget, provide a brief description of that portion of the scope to be accomplished with this year's appropriation.

10 For project that contain Subprojects the following applies:

a After the subparagraph letter, provide a two-digit Subproject Number (01-99) preceding the Subproject Title and Location. The Subproject Number will be used to provide Obligational Authority in the Approved Funding Program (AFP) and to report Obligations and Costs to FIS.

b Subproject Numbers will not be reused or changed during the life of the Project

c Subproject titles shall not be changed.

d Provide the Subproject Total Estimated Cost (TEC), the cumulative Appropriation for all previous years, the PY Appropriation, the CY Appropriation, the BY Appropriation, the cumulative outyear Appropriation to complete the Subproject

and the construction activity start and end dates with each subproject description as follows:

TEC	Prev.	FYPY	FYCY	FYBY	Outyear	Const. Start -- Comp. Dates
$61,499	$xx,xxx	$xx,xxx	$12,156	$3,700	0	1st Qtr PY-2 - 2nd Qtr BY+3

Elements of the funding profile and construction schedule that changed from the last data sheet submitted to the Congress shall be underlined and a Redline should appear in the left margin. Explain the changes in the text description of the subproject. For EM-40 Subprojects, modify the TEC heading to read - **TPC** and enter the Subproject TPC.

e Provide the date Subproject construction activity starts and the date construction activity ends. If any date has changed from the date previously transmitted to Congress, provide an explanation in the description of the Subproject. For EM-40 Subprojects, **(substitute the word cleanup for construction)** the completion date will be the current Five Year Plan end date or approved baseline end date, as appropriate.

f Subproject data will be reconciled with total Project data.

g The sum of the TEC for all Subprojects will equal the total line item cost on line j of Item 9, and the Total on line a.1.(a) in Item 11 of the Project Data Sheet (See Figure II-4.2). For EM-40 Subprojects, the TPC for all Subprojects will equal the TPC in Item 6 and line a.2.(i) of Item 11 of the Project Data Sheet.

h The sum of the Appropriation amounts for each fiscal year for all Subprojects will equal the sum of the Appropriation and Adjustment amounts in the Financial Schedule for the fiscal year.

i The sum of the Appropriation amounts for the previous fiscal years for all Subprojects will equal the sum of the Appropriation and Adjustment amounts in the Financial Schedule for all fiscal years previous to the PY.

j The dates in Items 4a and 4b of the Project Data Sheet will be the earliest construction **(or cleanup for EM-40 projects)** start date and the latest completion date for all Subprojects.

k Completed subprojects are to remain in the Project Data Sheet with its funding profile. To conserve space, the

narrative description should be removed the year following the year it was reported completed to Congress.

11 Describe the research, development, or production program which is underway or planned, including the relationship of the proposed facility (both as to need and timing) to the program objectives and schedules.

a State the criteria which determined the size or scope of the project, such as volume of production, storage capacity, number of persons to be housed, and space requirements for research.

b To the maximum extent feasible within security limitations, data sheets for projects involving production increases should indicate the present production rate or capacity and the change proposed. If the project is deemed to be an intermediate phase of a long-range program, indicate its relationship to the foreseeable planned capacity. If a production facility, state annual capacity and basis therefore, i.e., 1-shift, 2-shift operation, 5-day week, 6-day week. When inclusion of capacity involves "Top Secret" data, indices shall be used to the maximum extent practicable, or, if not practicable, the information shall be submitted separately to the program office concerned.

c If the purpose of the project is to replace existing facilities, explain fully the circumstances which make replacement necessary and the disposition to be made of the replaced facilities.

d Indicate that existing facilities have been reviewed to determine that the need cannot be met by modification of existing facilities. This is of particular importance in the case of radioactive contaminated facilities where decontamination and decommissioning costs are factors.

e State the reasons for the proposed timing of the completion of the project and the effect on the program if the project is deferred or not authorized.

f To the maximum extent practicable, justifications should contain data on the economics of the project including the basis for calculating savings and payout. In computing savings, comparative cost estimates shall include the cost of depreciation of the facility. Justifications can often be strengthened by reference to alternatives and to the consequences of disapproval.

g If costs include overhead of an off-site contract laboratory operated by a university or other institution, the reasons for including such overhead and the method by which the amount of such overhead was determined shall be stated.

h The project data sheet shall state the estimated gross annual cost (excluding depreciation) for operating the facilities upon completion, less any offsetting reductions which are applicable. In the case of replacement facilities, include comparative data for the facilities being replaced.

i For production type facilities and power producing facilities, the first full-year's operating costs, maintenance costs, and the annual costs at equilibrium should be set forth. Gross annual costs, revenues, or other offsetting reductions, and new annual costs should be shown.

ii For research or development facilities, including new research machines, show separately the operating costs, maintenance costs, the total cost of the research or development program to be carried out, and the incremental program cost related to occupation of the new building.

iii In all cases, the basis for these estimates of annual cost for operations and maintenance should be included.

12 *Include two items of performance measurement data at the appropriate (project or subproject) level*:

a *Indicate what program planning objectives the project (or subproject) benefits/supports, and*

b *Indicate the type and amount of project (or subproject) work to be completed during the budget year in quantifiable terms.*

(i) **Item 9**, Details of Cost Estimate.

1 This section of the data sheet consists of an estimate for each of the account classifications listed in subparagraph (i)3 below. Under each of the classifications give a breakdown of the costs, indicating significant units and costs wherever possible. Include all classifications. Enter zero dollars for classifications not applicable to the project. All costs should be presented in current year dollars, escalated to the midpoint of construction.

2 General administrative and other indirect costs, properly charged to the project, shall not be shown as a line item but shall be prorated among the various elements of costs. Also, the estimated costs of construction management services by private firms shall be similarly prorated among the various elements of construction costs. All the account classifications shall be listed even if no dollar amount is applicable. If it has been determined that the project will be administered under an "off-site" contract with a university or other institution, and that the institution will be reimbursed for overhead in connection with such administration, a memorandum entry shall be included indicating the estimated amount of such overhead. The costs for preparing system design descriptions or any comparable technical documentation are to be budgeted for and costed to operating expense or construction consistent with the treatment of related expenditures, e.g., documents which are accomplished for conceptual design are charged to operating cost while those performed for Titles I and II are charged to construction. The costs for preparing environmental documentation shall be budgeted for and costed to operating expenses.

a Unit cost per square foot or cubic foot for buildings or other construction shall be computed on the basis of gross areas and shall exclude the amount included in the estimate for contingencies. Unit costs should not be more precise than warranted by the status of design.

b The items to be shown in this section of the data sheet should include all pertinent data on quantities and unit costs. Unusual unit costs, engineering design, and inspection or contingency rates should be explained in notes.

c A statement shall be included as a note at the end of the estimate to show the basis for the estimate, e.g., "conceptual design is complete, Title I design is 25 percent complete".

d Explanatory notes shall be provided to indicate reasons why certain unit costs may be out of the normal range, such as: cost for special isolation requirements; costs related to speedup of construction showing hours per week on which estimate is based; and factors affecting the contingent amount.

e Actual costs in the narrative should be in whole dollars, tabular actual costs should be in thousands of dollars.

f Escalation rates should be explicitly stated and when the rates are significantly different from the guidance provided in the Field Budget Call, a thorough explanation shall be provided.

3 The account classifications to be used, together with explanatory notes, are provided below:

a *Design and Management Costs*:

i Engineering Design and Inspection Costs as an Approximate Percentage of Construction Costs. Enter EDI costs and compute the approximate percentage of total construction costs in Item 9.c. rounding off to the nearest tenth of a percent. Include costs for safety analysis reviews made after completion of conceptual design report. Record the cost of design, drawings, and specifications (DDS) on Figure II-4.2, Item 9.a.1., as shown.

ii Construction Management Costs. Report costs for those services provided by the organization responsible for management of the construction effort during Title I and Title II design and continuing through completion of construction. Construction management services are further defined in DOE 4700.1 and DOE 6410.1.

iii Project Management. Report costs for those services provided to the DOE on a specific project, beginning at the start of design and continuing through the completion of construction, for planning, organizing, directing, controlling, and reporting on the status of the project. Compute the approximate percentage of total construction costs in Item 9.c. rounding off to the nearest tenth of a percent

b *Land and Land Rights*. Provide a breakdown identifying each site to be acquired, the acreage or square miles involved, unit cost, and total cost or the cost of each land right acquired. See DOE 4300.1B, REAL PROPERTY AND SITE DEVELOPMENT PLANNING, for regulations concerning the acquisition of real property.

c *Construction Costs*.

i Improvements to Land. Indicate the types of improvements to be made and total cost. Where this sub-item constitutes a major portion of the project, it should be expressed in terms of units, unit costs, and total cost, such as ___miles of road at $___ per mile.

ii Buildings. List and identify each building or building addition to be constructed or existing building to be

modified, showing gross square feet, unit cost, and total cost. If the unit cost is unusually high, provide an explanatory note.

iii Other Structures. List and provide costs for each major other structure described in subparagraph (h)4.

iv Utilities. List the types of utilities described in subparagraph (h)5 and the total cost. Where this subitem constitutes a major portion of the project, units, unit costs, and total costs should be shown.

v Special Facilities. Identify major engineered equipment, and special systems, as described in subparagraph (h)6. Where major equipment components identified under "special facilities" appear to be standard in nature but are listed as special because, for example, they actually require special engineering and/or fabrication to meet requirements, an explanation of the special nature of the equipment should be included.

d *Standard Equipment*. List and provide costs for the major items of "off-the-shelf" equipment and furnishings, requiring a nominal engineering effort, as described in subparagraph (h)7. Costs shall include any engineering effort required.

e *Major Computer Items*. List and provide costs for each major computer item as described in subparagraph (h)8.

f *Removal Cost Less Salvage*. Include removal costs less salvage incident to the replacement of plant and equipment applicable to the project. Separate projects shall be established to budget and account for removal costs and salvage incident to the retirement of plant equipment which is not to be replaced.

g *Design and Project Liaison, Testing, Checkout, and Acceptance*. The cost of assisting in the design and development of equipment (not to be confused with start-up costs).

h *Contingency at Approximate Percentage of Above Costs*. Compute and indicate a contingency amount as a percentage of all above costs, rounding to the nearest percent. This contingency is provided to cover unforeseen and unpredictable situations and shall not provide for increasing the scope of the project. The amount of contingency will depend on the status of design and complexity of the project.

i *Total Line Item Cost*. Add contingencies to subtotal.

j *Non-Federal Contribution*. Non-Federal funds from other sources that are considered capital funds contained in the Total line item cost.

k *Net Federal Total Estimated Cost (TEC)*. The Federal cost net of non-Federal contribution. This is the TEC shown in Item 6.

(j) **Item 10**, Method of Performance. Indicate the type of contracting arrangements contemplated, using the following paragraphs or combinations of parts of these paragraphs as a guide:

1 Design and inspection shall be performed under a negotiated architect or engineer contract. Construction and procurement shall be accomplished by fixed price contracts awarded on the basis of competitive bidding.

2 Design and inspection shall be performed by the operating contractor. To the extent feasible, construction and procurement shall be accomplished by fixed price contracts and subcontracts awarded on the basis of competitive bidding.

(k) **Items 11 and 12**. All project data sheets shall contain an item 11 and an item 12. Item 11 shall contain the financial schedule and item 12 shall contain the narrative material associated with the financial schedule. Items 11 and 12 shall be prepared as illustrated in the sample Figure II-4.2, using the amount of space required for presentation under each section. If the project includes subprojects, attach a page in the format of Sections 11 and 12 for each subproject. Aggregated data should be supplied in Section 11 and 12 of the data sheet.

(l) **Detailed Instructions In Completing Items 11 and 12**. The cost estimates in item 11 are to be developed using the general guidance provided below. Item 12 shall parallel the costs detailed in item 11 with a narrative justification and explanation. The narrative shall include a brief description of each item in 11, its cost, the basis for operating expense funding and a schedule for accomplishment of the item. It should include the estimated start and completion dates and relevant project interface dates.

1 *Total Project Costs (item 11(and 12).a)*.

a *Total Facility Costs (item 11(and 12).a.1)*. This section shall contain all those costs which are directly related to construction of the facility.

i Line Item (item 11(and 12).a.1.(a)). The line item costs must agree with the TEC before offset for Non-Federal contribution in Item 9.j.

ii Plant Engineering and Design (item 11(and 12).a.1.(b)). Include any operating expense engineering and design costs, exclusive of the conceptual design costs identified in subparagraph b ii below, prior to construction funding availability. These are sometimes referred to as "bridge funds".

iii Operating Expense Funded Equipment (item 11(and 12).a.1.(c)). Any equipment, system, component, or other item which is funded from operating expenses for the direct use of the construction project or is required to make the facility or experiment complete and operable should be included. A narrative justification should be included to explain the reasons for such items and examples of items to be funded in this manner.

iv Inventories (item 11(and 12).a.1.(d)). Any inventories which are necessary to put the facility into use should be included.

v Total Facility Cost (Federal and Non-Federal) (item 11(and 12).a.1.(e)). Total items identified in i through iv above.

b *Other Project Costs (item 11(and 12).a.2)*. All estimated costs shall be escalated to the year of planned expenditure. Actual costs shall be shown when incurred.

i R&D Necessary to Complete Construction (item 11(and 12).a.2.(a)). Any construction project which requires the conduct of a Research and Development program directly prerequisite to its specific design and construction features and for which R&D funds are included in the operating expenses appropriation request shall include the total cost by fiscal year for such R&D.

ii Conceptual Design Costs (item 11(and 12).a.2.(b)). Indicate the cost of the conceptual design and Conceptual Design Report (CDR).

iii Decontamination and Decommissioning (D&D) (item 11(and 12).a.2.(c)). Costs associated with removal of hazardous material (typically radioactive or chemical material) from facilities, soils, or equipment by washing, chemical action, mechanical cleaning, or other remediation techniques. Also include costs associated with decommissioning (demolition, dismantling, and removal, see DOE Accounting Handbook).

iv NEPA Documentation Costs (item 11(and 12).a.2.(d)). All costs of complying with NEPA 1969 including: EAs, EISs, permitting actions, and site characterization.

v Other Project Related Costs (item 11(and 12).a.2.(e)). Any other costs directly related to the project that occur on a one-time basis, such as start-up costs, and training should be listed along with a narrative explaining and justifying each cost.

vi Total Other Project Costs (item 11(and 12).a.2.(f)). Total the project costs identified in i through v above.

vii Total Project Costs (item 11(and 12).a.2.g)). Total the costs in a v and b vi above including any Non-Federal contribution.

viii Non-Federal Contribution (item 11(and 12).a.2.(h)). Include Non-Federal funds from other sources that are considered operating funds and any Non-Federal capital funds identified in Item 9.j.

ix Net Federal Total Project Cost (TPC) (item 11(and 12).a.2.(i)). Total project cost less Non-Federal contribution.

x The total costs in Item 11 on line a.1.(a) will be the same as the costs in Item 9 on line 9.i. For EM-40 projects, the TPC by year in Item 11 in line a.2.(i) will equal the costs by year in Item 7.

2 *Related Annual Cost*. This section should include the costs directly associated with the operation and maintenance of the facility. An estimate of the annual cost (Item 11b) and a narrative explanation (Item 12b) should be included. Indicate when the annual cost will begin to be incurred. The annual cost, which will represent average per year over the useful life, should be escalated to the first year in which the cost will be incurred. Any significant variances in the annual cost estimates year to year should be discussed in the narrative. For example, there may be planned purchase of a major item of equipment which shall substantially change the annual costing later or make a significant change in the mode of operation. Any significant variations in the annual costing rates or the preceding items should be footnoted. For example, the procurement of a new nuclear reactor core on a very infrequent basis would greatly increase the annual capital equipment cost rate for a facility. These deviations in costs should be segregated from

the annual cost rate. Indicate the estimated useful life of the facility (years).

a *Facility Operating Costs (item 11(and 12).b.1)*. The estimate should include the annual costs to operate the facility including cost of labor and materials. The narrative should include**:**

i The staff years of effort required to operate the facility, and

ii A statement indicating whether it does or does not replace any other facility. If a replacement facility, provide total, not incremental, annual costs.

b *Facility Maintenance and Repair Costs (item 11(and 12).b.2)*. Include all non-construction maintenance efforts and repair. In the narrative, specify the staff years of effort required to maintain and repair the facility.

c *Programmatic Operating Expenses Directly Related to the Facility (item 11(and 12).b.3)*. Include programmatic effort which relies upon the direct and primary use of the facility. Provide a yearly estimate and narrative justification.

d *Capital Equipment not Related to Construction but related to the Programmatic Effort in the Facility (item 11(and 12).b.4)*. An estimate of annual capital equipment needs not related to construction but related to the programmatic effort included in subparagraph 2 a above should be included. The accompanying narrative should explain any expected installations of new programmatic related capital equipment.

e *GPP or Other Construction related to the programmatic Effort in the Facility (item 11(and 12).b.5)*. Include a yearly cost estimate and narrative justification of a General Plant Project or other expected construction related to programmatic effort included in subparagraph 2 a above.

f *Utility Costs (item 11(and 12).b.6)*. All annual utility costs incurred to operate the facility.

g *Other Costs (item 11(and 12).b.7)*. Any other expected annual costs should be listed with an accompanying narrative.

(m) **Item 13. Design and Construction of Federal Facilities.** The following paragraph should be used.

"All DOE facilities are designed and constructed in accordance with applicable Public Laws, Executive Orders, OMB Circulars, Federal Property Management Regulations, and DOE Orders. The total estimated cost of the project includes the cost of measures necessary to assure compliance with Executive Order 12088, "Federal Compliance with Pollution Control Standards"; section 19 of the Occupational Safety and Health Act of 1970, the provisions of Executive Order 12196, and the related Safety and Health provisions for Federal Employees (CFR Title 29, Chapter XVII, Part 1960); and the Architectural Barriers Act, Public Law 90-480, and implementing instructions in 41 CFR 101-19.6."

1 The applicable statement a or b should be included:

a "The project will be located in an area not subject to flooding determined in accordance with Executive Order 11988."

b "The project location in an area subject to flooding has been evaluated and the findings, determined in accordance with Executive Order 11988, are that ...". The appropriate material from the finding must be included.

2 The applicable statement a or b should be included:

a "DOE has reviewed the GSA inventory of Federal Scientific laboratories and found insufficient space available, as reported by the GSA inventory."

b Other appropriate statement in lieu of the above.

(n) Item 13 is required in the Field Budget, Draft OMB Budget, and OMB Budget Request submissions. For the Congressional Budget Request, Item 13 is not prepared.

d. Questions concerning Project Data Sheets. Question on the preparation of project data sheets should be directed to the Office of Budget, Budget Operations Division, Information Technology activity (CR-13).

e. General Plant and Accelerator Improvement Projects.

(1) The Committee on Energy and Water Appropriations has merged capital equipment, general plant projects (GPP), and most accelerator improvement projects (AIP) with operating funding. Construction activity that is less than $2,000,000 per project will be included in the operation and maintenance accounts. However, the Committee directed the Department, in implementing these changes, to continue to reflect capital equipment, general plant projects, and accelerator improvement projects in financial and accounting reports. Also, the committee directed that specific details for

planned capital equipment and general plant projects be included in the annual budget justifications.

(2) Program specific GPP or AIP are to be funded by the benefiting program. The site landlord should insure that sufficient support is provided for non-program specific GPP or AIP consistent with all other operational and maintenance funded landlord activities. GPP or AIP projects may not be funded from overhead or other indirect functional accounts.

(3) **While some information concerning GPP and AIP are requested for use by Headquarters Program Offices in preparing the FY 1999 budget request to OMB and the Congress, Field and Operations Offices are responsible for monitoring the details of GPP and AIP activities of sites under their jurisdiction. Field and Operations Offices will be required to provide necessary details of GPP and AIP activities of their sites on request**.

(4) The format for the Field Budget submission for reporting and requesting funding for General Plant Projects and Accelerator Improvement Projects by site is provided in Figure II-4.3, and consists of two parts.

(a) **Part I Summary** is a tabulation of the GPP or AIP by Headquarters Organization and Budget and Reporting (B&R) code. For each B&R, the obligations and costs for the PY, the CY, and the BY are required. The PY corresponds to BY-2 (the current execution year at the time of preparation of the Field Budget Request) and the CY corresponds to BY-1 (the budget year that is transmitted to the Congress during the same time frame). The total obligations and costs for each year by the site should also be shown. The financial data from Part II Project Listings should be reconciled with Part I.

(b) **Part II Project Listing** is a brief description of the GPP or AIP accomplishments expected in the PY with available funds, currently anticipated for the CY and the BY if the CY and BY funding requests are approved. At the time of submission of the Field Budget Request, the PY is roughly one-half complete. The anticipated GPP or AIP activities for the CY are in the budget request being considered by the Congress. If the anticipated GPP or AIP activities for the CY are now expected to be different than those submitted to the Congress, explain and stress the impact.

Each PY project shall be described on a separate section of the project listing form. Individual CY projects, if known, should be described on a separate section also. Generic CY and BY projects may be grouped on a single section of the project listing form.

(5) The data element definitions are primarily taken from the Facility Information Management System (FIMS) developed and operated by the Associate Deputy Secretary for Field Management.

(a) The data elements for Part I are as follows:

1 *Site Name* - the name assigned by DOE Headquarters.

2 *Landlord* - the funding Headquarters Program designated to oversee multi-program and facility infrastructure requirements.

3 *Contact Person* - please provide the name, phone number, FAX number, and E-Mail address of the person to be contacted concerning project information provided.

4 *Field Office* - the Operations Office, field office, project office, or other non-Headquarters element responsible for the site.

5 *Budget & Reporting Classification Code (B&R)* that provides funding for the GPP or AIP. If a single B&R provides the GPP or AIP funding at the site, a total line is not required.

(b) Data elements for Part II are:

1 *Site Name* - the name assigned by DOE Headquarters.

2 *Landlord* - the funding Headquarters Program designated to oversee multi-program and facility infrastructure requirements.

3 *Narrative Description* - for PY and known CY projects, describe the problem severity and mission importance of the project, the project scope in terms of capacity or other shortcomings remediated, and other justification for the project.

For generic CY and BY projects, describe the backlog of unfilled requirements and substandard assets by use category name, summarize findings of any condition assessment surveys, and provide any other justification for use GPP or AIP funds.

4 *Funding B&R* - enter the program B&R that will fund the GPP or AIP activity.

5 *Obligation Profile* - summarize the amount in thousands for the activities anticipated in each fiscal year.

6 *Cost Profile* - summarize the amount in thousands for the activities anticipated in each fiscal year.

(c) Questions concerning the GPP or AIP reporting should be addressed to the Budget Operations Division, Budget Formulation activity, (202)-586-4016.

DEPARTMENT OF ENERGY
FYBY FIELD BUDGET REQUEST
(Changes from FYCY Congressional Budget Request are denoted with a vertical line in left margin.)

MATERIALS SUPPORT AND OTHER DEFENSE PROGRAMS
(Tabular dollars in thousands. Narrative material in whole dollars.)

Materials Support
Supporting Services

1. Title and Location of Project:	Productivity Retention Program, Phases I-VI Various Locations	2a. Project No. 86-D-149 2b. Construction Funded

SIGNIFICANT CHANGES

- TEC decreased from $532,071,000 to $406,657,000 because of Savannah River mission change.

- TPC decreased from $631,585,000 to $486,632,000 because of Savannah River mission change.

- Completion date of 4th quarter 2001 changed to 4th quarter 1995 because of Savannah River mission change.

- Scope changed:

  Terminated the following subprojects: F Canyon Process Control Automation, SRS; Upgrade Assembly/Disassembly Monorails, SRS; Reactor Operations Monitoring System, SRS; Reactor Flood Control Pumps, SRS; Electrical Power Feeder Adjustment, SRS; FB-Line Liquid Recycling Cabinet, SRS; H Canyon Process Control, SRS; Automated Refueling System, RL; Improved Slug Processing Facilities, SRS.

  Added the following subprojects: Administrative Facilities and Utility Upgrade, SRS; Administrative Facilities, SRS.

  Modified the following subprojects: FB Line Productivity Retention, SRS; Replace Hot Canyon Cranes, SRS; FEED Materials Production Center Upgrade, OR; Automate Billet Handling Equipment, SRS; Airborne Radiation Removal, SRS; PFP Nitrate Handling System Upgrade, RL; Modernize Reactor Control Rod Electronics, SRS; Replace Thermal Diffusion Column, SRS; Foster Wheeler Boiler Retubing, RL; N Reactor V-11 Flow Control Valve, RL.

Figure II-4.1
Project Data Sheet Significant Changes

DEPARTMENT OF ENERGY
FYBY FIELD BUDGET REQUEST
(Changes from FY CYxx Congressional Budget Request are denoted with a vertical line in left margin.)

OTHER DEFENSE PROGRAMS
(Tabular dollars in thousands. Narrative material in whole dollars.)

Materials Support
Supporting Services

1. Title and Location of Project: Productivity Retention Program, Phases I-VI
Various Locations

2a. Project No. 86-D-149
2b. Construction Funded

3a. Date A-E Work Initiated, (Title I Design Start Scheduled): 1st Qtr. FY PY-7

3b. A-E Work (Titles I & II) Duration: 84 Months

5. Previous Cost Estimate:
Total Estimated Cost (TEC) -- $532,071
Total Project Cost (TPC) -- $631,585

4a. Date Physical Construction Starts: 2nd Qtr. FY PY-6

4b. Date Construction Ends: 4th Qtr. FY BY+1

6. Current Cost Estimate:
TEC -- $406,657
TPC -- $486,632

7. Financial Schedule (Federal Funds): a/

Fiscal Year	Appropriation	Adjustments		Obligations	Costs
Previous	$ 121,085	$ -1,813	b/	$ 91,842	$ 45,019
PY-3	72,140	-7,500	c/	70,640	41,772
PY-2	81,780	-15,727	d/	58,820	60,406
PY-1	61,750	35,243	e/	71,769	80,321
PYxx	36,865	4,758	f/	90,327	92,498
CYxx	11,651	-8,575	g/	8,259	36,641
BYxx	9,300			9,300	30,000
BY+1	5,70 0			5,700	20,000

Figure II-4.2
Project Data Sheet

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a/ For consistency with Departmental accounting system, the Appropriations, Obligations, and Costs for fiscal years prior to FY PYxx have been changed from amounts on the last data sheet and fiscal years prior to FY PY-3 are aggregated.
b/ Reflects FY PY-6 sequester of $-1,100,000 and distribution of FY PY-5 general reduction of $-713,000.
c/ SR reprogramming.
d/ Reflects FY PY-2 $-1,277,000 sequestration and $-14,500,000 reprogramming.
e/ Reprogramming for accounting adjustment (91-R-25) and corrective action for funding irregularities (91-R-18).
f/ Reprogramming to correct funding irregularities (92-R-15).
g/ Reflects use of prior year balances as directed in Congressional action on FY CYxx request.

8. Project Description, Justification, and Scope

Due to Savannah River mission change, this project has been severely modified. The original completion date of 2nd Quarter of fiscal year BY+6 has been changed to 4th quarter FY BY+1, the TEC has been reduced from $532,071,000 to $406,657,000, and the TPC changed from $631,585,000 to $486,632,000.

This project provides for modernization and upgrading of existing nuclear materials production facilities at Savannah River, South Carolina; Fernald, Ohio; Oak Ridge, Tennessee; and Richland, Washington.

The purpose of the Productivity Retention Program is to increase the operating availability or efficiency of critical production components. The need for such improvements is driven by several interrelated factors.

First, production capacity has declined due to aging. The four plants encompassed by the program are all over 30 years old; an advanced age by nuclear standards. Old, worn-out equipment breaks and requires consistently increasing levels of repair. These repairs halt operations and inhibit productivity. In the case of nuclear facilities, the down time necessary to complete repairs is especially lengthy because repair work cannot begin until the broken unit has been decontaminated and replacement parts are not generally available “off-the-shelf.”

The problems of plant aging have been exacerbated by past fiscal restrictions. Nearly all of the components being upgraded by the Productivity Retention Program have been maintained in service well beyond their normal replacement point in the interest of holding down capital budgets. While this approach provided short-term financial relief, its secondary effects have now surfaced in the form of equipment failures, obsolescence, increased product reject rates, and rising operating costs.

Figure II-4.2
Project Data Sheet (Continued)

8. Project Description, Justification, and Scope (Continued)

Second, more stringent environmental release, radiation exposure, and nuclear safety standards have come into effect over the years. These standards are forcing the Department to either curtail production or find improved methods of operation. All of the Department's nuclear materials production reactors are currently shut down because of safety concerns, and it appears that reactor power levels could be restricted for a number of years even after they are returned to service. These restrictions will require that the plants run with greater efficiency in the future in order to compensate for lost production capability.

Finally, there is an increased need for cost-effectiveness. Production requirements are, in many cases, currently being achieved through the use of higher staffing and other non-optimal practices. These methods do not provide a satisfactory long-term answer. There is a limit to the number of shifts that can be worked in a week, and additional manpower raises operating costs. Improving the efficiency of the production plants will avoid the need for further expansion of the direct labor force with accompanying cost savings. Similarly, installing modern equipment and process control systems will significantly reduce production rejection ratios and scrap generation. While the Productivity Retention Program represents a substantial investment, this investment will more than be repaid through large future-year budget reductions.

Due to the size of the undertaking required and the need to tightly sequence construction with available production windows, work will be requested in phases. Detailed justification for those subprojects requiring funding in FY BYxx follows.

a. Subproject 01 - FB-Line Productivity Retention, SRS

TEC	Prev.	FY PYxx	FY CYxx	FY BYxx	Outyear	Construction Start - Completion Dates
$61,499	$xx,xxx	$xx,xxx	$12,156	$3,700	0	1st Qtr FY PY-4 - 2nd Qtr FY BY+1

Previous TEC of $70,500,000 reduced and completion date of 3rd quarter FY 1999 changed due to terminations based on reduced production requirements.

This Phase I and II subproject provides for replacement of existing plutonium finishing components of the FB-Line in Building 221-F. Phase I tasks include:

Figure II-4.2
Project Data Sheet (Continued)

8. Project Description, Justification, and Scope (Continued)

a. Subproject 01 - FB-Line Productivity Retention, SRS (Continued)

- Provide funding for a receipts assay facility.
- Provide funding for the upgrading of the Solution Transfer Vacuum System.
- Reworking the C-T wet cabinet to improve ventilation and replace windows terminated due to reduced production requirements.
- Upgrading a portion of the mechanical line
- Upgrade the distributive controls system (DCS) in the FB-Line Central Control room.
- Improved fire protection terminated due to reduced production requirements.
- Replacing corroded ventilation duct work in the facility.
- Provide funding for an inert atmosphere for the special recovery feed preparation glovebox.

Phase II tasks include:

- Fire protection improvements
- Ventilation system improvements and upgrades

Tasks added:

- Provide a stainless steel process pipe duct on the FB-Line sixth level.
- Provide a plant and instrument air compressor system for the FB-Line.
- Provide for upgrading Halon suppression to the Mechanical Line cabinet, all facility wet cabinets and for 2 room systems.
- Assemble and test the Vessel Vent Vacuum System in the FB-Line test facility.
- Replace the existing inleakage panels with non-leakage panels on the Cation and Anion wet cabinets to improve ventilation control.
- Provide funding for the restoration of the area where the Blend Cabinet was to be installed on canceled Project S-4169.
- Provide a warehouse for the storage of the Blend Cabinet not installed on Project S-4169.

The proposed physical improvements will:

- Increase process reliability and utility to meet production objectives.
- Reduce radiation exposure of personnel to a level which is as low as reasonably achievable within the existing JL-Line facility.
- Improve contamination control to reduce assimilation risk.
- Improve containment of process liquid to reduce product losses and prevent release to the environment.
- Reduce dependence on procedural control for protection against assimilation.

Figure II-4.2
Project Data Sheet (Continued)

8. Project Description, Justification, and Scope (Continued)

a. Subproject 01 - FB-Line Productivity Retention, SRS (Continued)

- Improve product quality (reduce impurities).
- Reduce criticality risk.
- Provide adequate fire protection.

b. Subproject 02 - Replace Hot Canyon Cranes, SRS

TEC	Prev.	FY PYxx	FY CYxx	FY BYxx	Outyear	Construction Start - Completion Dates
$28,400	$28,400	0	0	0	0	Construction completed 3rd Qtr FY PYxx

c. Subproject 03 - Feed Materials Production Center Upgrade, OR

TEC	Prev.	FY PYxx	FY CYxx	FY BYxx	Outyear	Construction Start - Completion Dates
$71,308	$71,308	0	0	0	0	4th Qtr FY PY-2 - 4th Qtr FY BY+1

Previous TEC of $73,650,000 reduced due to lower production requirement.

This multiphase subproject provides for the modernization of equipment at the Feed Materials Production Center (FMPC) which is utilized in the processing of uranium in support of production reactor operations at Savannah River. Phase I work includes:

- A new pressure swing absorption system to supply nitrogen to Plants 4, 5, and 9.
- New equipment and facilities for milling magnesium fluoride which has been used in casting enriched uranium derbies.
- Automation and modification of the refinery and Plant 8 sump systems used to control liquid waste streams.

Figure II-4.2
Project Data Sheet (Continued)

8. Project Description, Justification, and Scope (Continued)

c. Subproject 03 - Feed Materials Production Center Upgrade, OR (Continued)

- Acquisition of new pot and derby handling equipment.
- Installation of NO_x scrubbers on the scrap and chip pickling processes.
- Improved materials handling in the uranium reduction area.
- Combining the Plant 9 zirconium decladding process with the Plant 8 aluminum process.

Phase II tasks include:

- A new furnace to oxidize uranium terminated due to reduced production requirements.
- Equipment to process metal spills terminated due to reduced production requirements.
- Renovation of the depleted slag milling system and improvements to the associated dust collection equipment terminated due to reduced production requirements.
- Upgrading of Plant 2 nitric acid recovery system.
- A new automated furnace for heat treatment of uranium ingots.
- Improved UF_4 packaging equipment terminated due to reduced production requirements.
- Modernization of the Plant 7 rail spur.
- A crusher and dust collection system in Plant 8 terminated due to reduced production requirements.
- Upgrades to the water treatment plant.

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TEC	Prev.	FY PYxx	FY CYxx	FY BYxx	Outyear	Construction Start - Completion Dates
$31,190	0	$31,190	0	0	0	1st Qtr FY PYxx - 2nd Qtr FY BY+1

Figure II-4.2
Project Data Sheet (Continued)

8. Project Description, Justification, and Scope (Continued)

c. Subproject 03 - Feed Materials Production Center Upgrade, OR (Continued)

Previous TEC of $13,300,000 increased due to additional facilities.
This project will provide SRS with a material management receiving and storage facility (MMRSF) and facilities to house construction supervision, crafts, storage requirements and special activities. Associated utilities are also included. These projects are grouped in seven categories; a material management receiving and storage facility, administration buildings, craft facilities, warehouse modifications, an employment processing facility, a paint and blast facility and support utilities.

aa. Subproject 27 - Administrative facilities, SRS

TEC	Prev.	FY PYxx	FY CYxx	FY BYxx	Outyear	Construction Start - Completion Dates
$15,400	0	0	0	0	0	1st Qtr FY CYxx - 4th Qtr FY CYxx

These buildings were originally built as GPP and added to this project via March 19, 1992 CPDS. These buildings consist of seven administrative office buildings. All buildings are single story, pre-engineered, and range in size from 16,000 to 20,000 square feet. Each facility includes a conference room, breakroom, hardwall offices and open bays for the inclusion of systems furniture, telecommunications, miscellaneous office furniture, landscaping and a government parking area.

Figure II-4.2
Project Data Sheet (Continued)

1. Title and Location of Project:	Productivity Retention Program, Phases I-VI Various Locations (Continued)	2a. Project No. 86-D-149 2b. Construction Funded

9. Details of Cost Estimate

	Item Cost	Total Cost
a. Design and Management Costs		$ 86,148
1. Engineering design and inspection at approximately 32.3 percent of construction costs, Item c (Design, Drawings, and Specifications: $46,456)	$ 66,148	
2. Construction Management Costs	20,000	
3. Project management at 0 percent of construction costs (Item c)	0	
b. Land and land rights	0	
c. Construction costs		266,713
1. Improvements to land	$ 3,307	
2. Buildings	58,358	
3. Other structures	41,220	
4. Utilities	143,715	
5. Special Facilities	17,168	
d. Standard Equipment		10,388
e. Major computer items		2,945
f. Removal cost less salvage		13,912
g. Design and project liaison, testing, checkout and acceptance		551
h. Subtotal (a. through g.)		$373,839
i. Contingencies at approximately 6 percent of above costs		22,430
j. Total line item cost (Section 11. a. 1. (a))		$406,657
k. LESS: Non-Federal Contribution		0
l. Net Federal total estimated cost (TEC)		$406,657

10. Method of Performance

Method of performance will vary with location. At Savannah River, design will be performed by the operating contractor. Construction and procurement will be accomplished by the operating contractor, utilizing fixed-price subcontracts awarded on the basis of competitive bidding to the extent feasible. At Fernald, design and inspection will be performed with a negotiated architect-engineer contract. Construction and procurement will be accomplished by both cost-reimbursement and firm fixed-price contracts. At Richland, design and inspection services were

Figure II-4.2
Project Data Sheet (Continued)

performed under a negotiated architect-engineer contract. To the extent feasible, construction and procurement will be accomplished by fixed-price contracts and subcontracts awarded on the basis of competitive bidding.

11. Schedule of Project Funding and Other Related Funding Requirements

	Previous Years	FY PYxx	FY CYxx	FY BYxx	Outyears	Total
a. Total project costs						
1. Total facility costs						
(a) Line item (Section 9. j.) . . .	$ 227,518	$ 92,498	$ 36,641	$ 30,000	$20,000	$ 406,657
(b) Plant Engineering & Design. .		0	0	0	0	0
(c) Oper. Exp. funded equipment		6,250	0	0	0	6,250
(d) Inventories	0	0	0	0	0	0
(e) Total facility cost (Federal and Non-federal)	$ 233,768	$ 92,498	$ 36,641	$ 30,000	$20,000	$ 412,907
2. Other project costs						
(a) R&D necessary to complete project	$ 6,607	$ 0	$ 0	$ 0	$ 0	$ 6,607
(b) Conceptual design costs . . .	17,070	75	0	0	0	17,145
(c) Decontamination & Decommissioning (D&D)	0	0	0	0	0	0
(d) NEPA Documentation Costs	0	0	0	0	0	0
(e) Other project-related costs .	33,453	7,776	4,983	1,879	1,882	49,973
(f) Total other project costs .	$ 57,130	$ 7,851	$ 4,983	$ 1,879	$ 1,882	$ 73,725
(g) Total project cost	$ 290,898	$ 100,349	$ 41,624	$ 31,879	$ 21,882	$ 486,632
(h) LESS: Non-Federal contribution	0	0	0	0	0	0
(i) Net Federal total project cost (TPC)	$ 290,898	$ 100,349	$ 41,624	$ 31,879	$ 21,882	$ 486,632

Figure II-4.2
Project Data Sheet (Continued)

1. Title and Location of Project:	Productivity Retention Program, Phases I-VI Various Locations (Continued)	2a. Project No. 86-D-149 2b. Construction Funded

b. Related annual costs (estimated useful life of each facility--20 to 40 years)

1. Facility operating costs	$ 12,250
2. Facility maintenance and repair costs	0
3. Programmatic operating expenses directly related to the facility	0
4. Capital equipment not related to construction but related to the programmatic effort in the facility	700
5. GPP or other construction related to the programmatic effort in the facility	50
6. Utility costs	0
7. Other costs	400
Total related annual costs.	$ 13,400

12. Narrative Explanation of Total Project Funding and Other Related Funding Requirements

a. Total project funding

1. Total facility costs

(a) Line item--Narrative not required.

(b) PE&D--None.

(c) Expense-funded equipment--Developmental SR hot canyon crane and prototype N Reactor drive turbine control system.

(d) Inventories--None.

2. Other project costs

(a) R&D necessary to complete construction--Includes cost associated with the two "FB-Line Productivity Retention" subprojects, the FMPC Upgrades, "Primary Pump Rehabilitation," and "Reactor Control Rod Electronics" subprojects.

(b) Conceptual design--No narrative required.

(c) Decontamination and Decommissioning (D&D)--None.

(d) NEPA Documentation--Includes studies for "FB-Line Productivity Retention," "Hot Canyon Cranes," "Thermal Diffusion Columns," "F Canyon Process Control Automation," "Automated Billet Handling," "Assembly/Disassembly Monorails," and "Reactor Operations Monitoring System" subprojects.

(e) Other project related costs are engineering support for preoperational test, checkout and startup. The FY PY-1 accounting adjustment of $31,083 includes costs associated with construction, award fee, capital equipment, consulting and design.

Figure II-4.2
Project Data Sheet (Continued)

1. Title and Location of Project:	Productivity Retention Program, Phases I-VI Various Locations (Continued)	2a. Project No. 86-D-149 2b. Construction Funded

b. Related annual costs

1. Facility operating cost, when all facilities are operational 4th Qtr FYCY, average $10,000,000 for labor and $2,500,000 for materials per year. An average of 200 staff years will be required to operate all facilities. Subproject-01 replaces components of the FB-line in Building 221-F, SRS and will be operational 2nd Qtr FYCY; Subproject-02 replaced Hot Canyon Cranes, SRS and was operational 3rd Qtr FYPY-2; Subproject-03 upgrades Feed Materials Production Center, OR and was operational 4th Qtr FYPY; . . . Subproject-26 provides new Materials Management receiving and storage, SRS and will be operational 2nd Qtr FYCY; and Subproject-27 provides new Administrative Facilities, SRS and will be operational 4th Qtr FYCY.
2. Facility maintenance and repair costs for all facilities average $x,xxx,xxx for labor and $x,xxx,xxx for materials. A total of 74 staff years per year are required to maintain all facilities.
3. Programmatic operating expenses directly related to all facilities will be reduced an average of $234,789,000 per year due to the increases throughput and the reduced staff needed to operate and maintain the replaced, upgraded, and new facilities. The net programmatic operating expenses are $xxx,xxx,xxx per year.
4. Capital equipment cost not related to construction but related to the programmatic effort in all facilities will average $700,000 per year. Each programmatic equipment item is on a specific life-cycle replacement schedule.
5. GPP or other construction related to the programmatic effort will average $50,000 per year for all facilities.
6. Utility costs for all facilities will average $xx,xxx,xxx for electricity, $xx,xxx,xxx for water, etc.
7. Other costs will average $400,000 per year for all facilities.

Figure II-4.2
Project Data Sheet (Continued)

U. S. DEPARTMENT OF ENERGY

Site Name:(Laboratory, Plant, or other Installation) Landlord Program:_____

Contact Person:_____Phone:_____FAX:_____E-mail:_____

Field Office:_____

FY 19BY FIELD BUDGET REQUEST

GENERAL PLANT (or ACCELERATOR IMPROVEMENT) PROJECTS

I. Summary

HQ Program Office B&R	FY xxPY		FY xxCY		FY xxBY	
	Obligations	Costs	Obligations	Costs	Obligations	Costs
B&R #1						
B&R #2						
Subtotal HQ Program Office #1						
...						
B&R #n						
Subtotal HQ Program Office #n						
Landlord funded GPP B&R						
Total, Site						

Figure II-4.3
General Plant (or Accelerator Improvement) Projects

Site Name:(Laboratory, plant, or other installation) Landlord Program:_____ GPP (or AIP) (Continued)

II. Narrative Description of GPP's (or AIP's) by fiscal year and funding B&R.

FY__ Description of GPP (or AIP)	Funding B&R	Obligation Profile for B&R	Cost Profile for B&R
1. 2. . . . n.	B&R #1	PY_____ CY_____ BY_____	PY_____ CY_____ BY_____
FY__ Description of GPP (or AIP)	Funding B&R	Obligation Profile for B&R	Cost Profile for B&R
1. 2. . . . n.	B&R #2	PY_____ CY_____ BY_____	PY_____ CY_____ BY_____

Figure II-4.3
General Plant (or Accelerator Improvement) Projects

CHAPTER III

SUPPLEMENTARY JUSTIFICATION MATERIALS

1. **INTRODUCTION** In addition to the primary justification in Chapter II, each laboratory, facility and contractor shall prepare and submit the supplementary justification material exhibits described in this chapter, as appropriate. Copies of this material shall be provided to the Headquarters Organizations as indicated in Attachment D of the Field Budget Call guidance. Questions on supplementary requirements should be directed to the point of contacts specified below:

SUPPLEMENTAL JUSTIFICATION MATERIALS	COMPLETED BY:		POINT OF CONTACT	
	M&O	Ops/FO	NAME	PHONE
Uncosted Obligations	X	X	Dave Huey	202-586-4180
Motor Vehicle Statement	X	X	Mark Napoli	202-586-8256
Reimbursable Work	X	X	Patricia Lach	301-903-2906
Cost of Work for Others	X	X	Bob Emond	202-586-8490
Aircraft Statement	X	X	Robert Jones	301-903-5323
Surplus Facilities Management	X	X	Joan Lowry	301-903-4460
Isotopes Inventory Transactions	X	X	John Pantaleo	301-903-2525
Planned Acquisition of Fixed Assets	X	X	Martin Newdorf David Bugg	202-586-9708 202-586-4715
Financial Management Activities		X	Ben Chatterson	301-903-4184
Landlord	X	X	David Bugg Jim Powers	202-586-4715 202-586-7438
Allocable/Indirect Costs			Jon Mathis	202-586-4909

2. **UNCOSTED OBLIGATIONS** reporting shall be done at the close of each fiscal year. Revised policy is contained in the Deputy Chief Financial Officers memorandum subject: Policy on Uncosted Balances, dated November 8, 1996.

3. **MOTOR VEHICLE STATEMENT FOR FYBY**. The Motor Vehicle Statement, prepared for the budget year only, provides information relating to the cost of purchase and hire of motor vehicles. Each designated contractor, who will be purchasing Government vehicles or will be using Government funds for the term for hire of motor vehicles (60 days or more), must prepare a motor vehicle statement for each appropriation/programs. Each field organization is responsible for gathering these vehicle statements from all the contractors under its purview and sending them to the designated receipients in Headquarters. See Figure III-3 for an example of format of the required statement.

a. The number of passenger vehicles (sedans, station wagons, ambulances, and buses) to be acquired is dependent on the number authorized by specific Congressional approval in the appropriation act language. The price which may be paid for sedans and station wagons should not exceed the current statutory limitation. However, police-type and special heavy-duty vehicles may exceed this limitation up to a specified amount. The existing statutory limitation may be confirmed by the Office of Contractor Managment and Administration (HR-55).

b. Estimates to be included in this schedule shall be indicated for the following types of motor vehicles:

(1) **Motor Vehicles**:

(a) Passenger Vehicles:

1 Sedans including police-type;
2 Station wagons including police-type;
3 Ambulances; and
4 Buses.

(b) Trucks:

1 Light capacity under 8,500 lbs gross vehicles weight, 4x2;
2 Light capacity under 8,500 lbs gross vehicle weight, 4x4;
3 Medium capacity 8,500 to 23,000 lbs gross vehicle weight; and
4 Heavy capacity 24,000 lbs gross vehicle weight and over.

(c) Special Purpose Vehicles. Includes trucks with permanently mounted equipment, such as mobile cranes, air compressors, wreckers, fire trucks, line service and special tank trucks, motor scooters, electric and hybrid powered vehicles, and military vehicles described in FPMR 101-38.001-4.

(2) **Trailers**. Includes trailers and semi-trailers, but does not include truck tractors which should be included under trucks.

c. The number of police-type vehicles to be acquired as additions and/or replacements should be included with the appropriated vehicle type and identified with a footnote on the statement.

d. Vehicles to be purchased in the budget year must be identified in columns 2 through 6. In the case of passenger vehicles and aircraft, the term "purchased" includes transfers from other agencies with or without reimbursement.

(1) Enter in column 2 the number of additions to the fleet.

(2) Enter in column 3 the number of replacements to the fleet. This number must be less than or equal to the number in column 11, Total Replacements.

(3) Enter in column 4 the total of columns 2 and 3.

(4) Enter in column 5 the total cost for vehicles to be purchased.

(5) Enter in column 6 the number of alternatively fueled additions or replacements to be purchased for the DOE fleet in FYBY.

e. The estimated number of motor vehicles additions or replacements from GSA's Interagency Fleet Management System (GSA-IFMS) shall be entered in columns 7, 8, and 9.

f. Enter in column 10 the total cost for vehicles to be rented.

g. Enter in column 11 the number of alternatively-fueled additions or replacements to be leased from the GSA-IFMS during FYBY.

h. Submission of the Motor Vehicle Statement is as follows: (1) M&O contractors should their statements to the cognizant Operations Office; and (2) each of the Operations Offices should collectively forward these statement to the Office of Contractor Managment and Administration (HR-55) and the Budget Operations Division, Office of Budget (CR-13), and each Assistant Secretary who is requested to provide funding for vehicles purchased and /or rented.

i. The information submitted in the statement must be consistent with corresponding capital equipment budget requests.

j. Questions on the Motor Vehicle Statement should be directed to the Office of Contractor Managment and Administration (HR-55).

FYBY FIELD BUDGET REQUEST
MOTOR VEHICLE STATEMENT FOR FYBY

M&O Contractor: _____
Appropriation/HQ Program: _____
Oversight Operations Office: _____

	DOE PURCHASES					GSA-IFMS					Total of columns 6&11
Type	Addns	Replmt	Total No. Vehicles	Total Funding	AFV 1/	Addns	Replmt	Total No. Vehicles	Total Funding	AFV 1/	
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)	(10)	(11)	(12)
Sedans											
Station Wagons											
Ambulances											
Buses											
Pass. Vehicles Subtotal											
Light Trucks 4x2											
Light Trucks 4x4											
Medium Trucks											
Heavy Trucks											
Trucks Subtotal											
Special Purpose											
Trailers											
TOTAL											

1/ Number of "Total" which are Alternatively-Fueled. (AFV = Alternative Fuel Vehicle)

Figure III-3
Motor Vehicle Statement

4. REIMBURSABLE WORK - FEDERAL AND NON-FEDERAL

a. Reimbursable work is defined as any work or service performed by DOE and DOE contractors for either a Federal or non-Federal customer which is part of the customer's mission responsibility and for which the Department does not receive direct appropriated funds from Congress. Reimbursable work is financed through funds provided by Federal customers or from cash advances received from non-Federal customers.

b. Reimbursable Work for Other Federal Agencies.

(1) Figure III-4.1 provides additional information for limitation .93 reimbursements, Reimbursable Work for Other Federal Agencies, which is necessary to comply with OMB Circular No. A-11 requirements.

(2) This schedule should be formatted as shown in the figure. Estimates for total obligation authority should be provided on one schedule for FYPY, FYCY, and FYBY.

(3) Except for the power marketing appropriations, Reimbursable Work for Other Federal Agencies will be identified in two separate appropriations: 89X0240, Weapons Activities, for work with Department of Defense agencies; and 89X0224, Energy Supply Research and Development Activities, for work with all agencies other than the Department of Defense.

(4) Reimbursable work for the power marketing appropriations will be identified against the appropriate power marketing account.

(5) Budget and Reporting Classification 40 has been designated for Reimbursable Work for Other Federal Agencies. For each B&R line on the reimbursable schedule, a brief narrative should be added which describes the nature of work along with associated funding levels for each of the three years provided in the budget. Separate statements should be provided when more than one major work activity is performed under a single B&R line.

(6) Unobligated budget authority for Reimbursable Work for Other Federal Agencies normally expires at the end of each fiscal year. When determining obligation requirements for each fiscal year, care should be taken to assure that sufficient budget authority is requested to fund all obligations expected to be incurred in that fiscal year; i.e., if the terms of any unobligated reimbursable agreements at year-end are such that they will still be available for obligation in the next fiscal year, requests for total obligation authority should include amounts for these carryover reimbursable agreements as well as for anticipated new agreements.

(7) In addition to providing contractor estimates by Budget and Reporting Classification, the grand total for each contractor must be provided for total program 40 at the end of the schedule for each appropriation.

c. Reimbursable Work for Non-Federal Entities (not including Third Party Receipts from Technology Transfer Activities included in d., below).

(1) Figure III-4.2 provides additional information for limitation .92 reimbursements, Reimbursable Work for Non-Federal Entities, which is necessary to comply with OMB Circular A-11 requirements.

(2) This schedule should be formatted as shown in the exhibit. Estimates for total obligation authority should be provided on one schedule for FYPY, FYCY, and FYBY.

(3) Except for the power marketing appropriations, Reimbursable Work for Non-Federal Entities will be identified in two separate appropriations: 89X0240, Weapons Activities, for work with Department of Defense agencies; and 89X0224, Energy Supply Research and Development Activities, for work with agencies other than the Department of Defense. Non-Federal reimbursable work for the power marketing appropriations will be identified against the appropriate power marketing account.

(4) Cash advances are required for all non-Federal reimbursable work except as indicated in DOE Accounting Handbook Chapter 13, "Reimbursable Work, Revenues, and Other Collections."

(5) Budget and Reporting Classification 60 has been designated for Reimbursable Work for Non-Federal Entities. For any anticipated Non-Federal reimbursable work, the schedule should provide the name of the Non-Federal entity, a description of the work to be performed, and a related dollar amount for each of the three years provided in the budget.

(6) In addition to providing contractor estimates by Budget and Reporting Classification, the grand total for each contractor must be provided for total program 60 at the end of the schedule for each appropriation.

d. Third-Party Receipts from Technology Transfer Activities.

(1) Figure III-4.3 provides additional information for limitation .95 reimbursements, Third-Party Receipts from Technology Transfer Activities, which is necessary to comply with OMB Circular A-11 requirements.

(2) This schedule should be formatted as shown in the figure. Estimates for total obligation authority should be provided on one schedule for FYPY, FYCY, and FYBY.

(3) Third-Party Receipts from Technology Transfer Activities are identified in two separate appropriations: 89X0240, Weapons Activities, for work with Department of Defense agencies; and 89X0224, Energy Supply Research and Development Activities, for work with all agencies other than the Department of Defense.

(4) Cash advances are required except as indicated in DOE Accounting Handbook Chapter 13, "Reimbursable Work, Revenues, and Other Collections."

(5) Budget and Reporting Classification 65 has been designated for Third-Party Receipts from Technology Transfer Activities. The schedule should provide the name of the other party, a description of the work to be performed, and the related dollar amount for each of the three years provided in the budget.

(6) In addition to providing contractor estimates by Budget and Reporting Classification, the grand total for each contractor must be provided for total program 65 at the end of the schedule for each appropriation.

e. The amounts included for the FYCY estimates will be used as the basis for issuing the initial FYCY approved funding program for reimbursable work. These estimates should not exceed the approved overall level for non-DOE funded work at a particular facility that has been established by the cognizant program at Headquarters as provided for in DOE 4300.2C.

DEPARTMENT OF ENERGY
FYBY FIELD BUDGET
REIMBURSABLE WORK FOR OTHER FEDERAL AGENCIES
(in thousands of dollars)

(Appropriation Symbol and Title)
(Organizational Component)

B&R Contractor Designation and Description	FYPY Estimate Direct Cost[1]	FYPY Estimate Indirect[3] Added Factor[2]	FYCY Estimate Direct Cost[1]	FYCY Estimate Indirect[3] Added Factor[2]	FYBY Estimate Direct Cost[1]	FYBY Estimate Indirect[3] Added Factor[2]
40-04 Research and Development:						
01 Department of Agriculture						
Jones National Laboratory - (for design and construction of new spectrometer to conduct electron spin echo experiments).	$ 600	19	$ 700	22	$ 800	26
Smith National Laboratory - (to conduct studies on structure and assembly of reaction center of photosystem 2)	1,000	32	$1,000	32	1,000	32
Total 40-04-01	$1,600	51	$1,700	54	$1,800	
02 Department of Commerce						
Jones National Laboratory - (for tracer experiment to validate long-range atmospheric transports)	$ 250	8	$ 400	13	$ 500	16
Total 40-04-02	$ 250	8	$ 400	13	$ 500	16
XX List all appropriate B&Rs by contractor with description.						
TOTAL by B&R	**$2,850**	**59**	**$3,200**	**67**	**$3,400**	**74**
Contractor Totals						
Jones National Laboratory	$ 850	27	$1,100	35	$1,300	
Smith National Laboratory	$2,000	32	$2,100	32	$2,100	32
TOTAL by Contractor	**$2,850**	**59**	**$3,200**	**67**	**$3,400**	**74**

[1] Direct Cost is equal to Reimbursable Work Authority.
[2] Added Factor is to be based on the Departmental Rate, plus any office variable, taken against the direct costs to be incurred within the fiscal year.
[3] All waivers are to be specifically identified and added factor rates appropriately footnoted.

Figure III-4.1
Reimbursable Work for Other Agencies

DEPARTMENT OF ENERGY
FYBY FIELD BUDGET
REIMBURSABLE WORK FOR NON-FEDERAL ENTITIES
(in thousands of dollars)

(Appropriation Symbol and Title)
(Organizational Component)

B&R Contractor Designation and Description	FYPY Estimate			FYCY Estimate			FYBY Estimate		
		Indirect Cost[4]			Indirect Cost[4]			Indirect Cost[4]	
	Direct Cost[1]	Added Factor[2]	Depreciation[3]	Direct Cost[1]	Added Factor[2]	Depreciation[3]	Direct Cost[1]	Added Factor[2]	Depreciation[3]
60-00									
Jones National Laboratory									
State of California - to analyze test results related to clean air studies	$4,000	680	260	$5,000	850	325	$5,000	850	325
Smith National Laboratory									
XYZ Corporation - to conduct an aerial survey of corporation's oil refineries	500	85	33	0	0	0	0	0	0
XX-xx List all appropriate B&Rs by contractor with description.									
TOTAL by B&R	**$4,500**	**765**	**295**	**$5,000**	**850**	**325**	**$5,000**	**850**	**325**
Contractor Totals									
Jones National Laboratory	$4,000	680	260	$5,000	850	325	$5,000	850	325
Smith National Laboratory	$ 500	85	33	0	0	0	0	0	0
TOTAL by Contractor	**$4,500**	**765**	**293**	**$5,000**	**850**	**325**	**$5,000**	**850**	**325**

[1] Direct Cost is equal to Reimbursable Work Authority.
[2] Added Factor is to be based on the Departmental Rate, plus any office variable, taken against the direct costs to be incurred within the fiscal year.
[3] Depreciated rates are site specific and are also taken against the direct costs.
[4] All waivers are to be specifically identified and added factor and depreciation rates appropriately footnoted.

Figure III-4.2
Reimbursable Work for Non-Federal Entities

DEPARTMENT OF ENERGY
FYBY FIELD BUDGET
THIRD-PARTY RECEIPTS FROM TECHNOLOGY TRANSFER ACTIVITIES
(in thousands of dollars)

(Appropriation Symbol and Title)
(Organizational Component)

B&R Contractor Designation and Description	FYPY Estimate Direct Cost[1]	FYPY Estimate Indirect Cost[4] Added Factor[2]	FYPY Estimate Indirect Cost[4] Depreciation[3]	FYCY Estimate Direct Cost[1]	FYCY Estimate Indirect Cost[4] Added Factor[2]	FYCY Estimate Indirect Cost[4] Depreciation[3]	FYBY Estimate Direct Cost[1]	FYBY Estimate Indirect Cost[4] Added Factor[2]	FYBY Estimate Indirect Cost[4] Depreciation[3]
65-00									
Smith National Laboratory									
Customer X - Description of activity	$4,000	680	260	$5,000	850	325	$5,000	850	325
Jones National Laboratory									
Customer Y -	500	85	33	0	0	0	0	0	0
Jones National Laboratory									
Customer Z -	200	34	13	300	51	20	400	68	26
XX-xx List all appropriate B&Rs by contractor with description.									
TOTAL, Third Party Receipts from Technology Transfer Activities	**$4,700**	**799**	**306**	**$5,300**	**901**	**345**	**$5,400**	**918**	**351**
Contractor Totals									
Smith National Laboratory	$4,000	680	260	$5,000	850	325	$5,000	850	325
Jones National Laboratory	$ 700	119	46	$ 300	51	20	$ 400	68	26
TOTAL by Contractor	**$4,700**	**799**	**306**	**$5,300**	**901**	**345**	**$5,400**	**918**	**351**

[1] Direct Cost is equal to Reimbursable Work Authority.
[2] Added Factor is to be based on the Departmental Rate, plus any office variable, taken against the direct costs to be incurred within the fiscal year.
[3] Depreciated rates are site specific and are also taken against the direct costs.
[4] Activities for which the Departmental added factor and depreciation charges are considered part of DOE's contribution to agreements pursuant to the National Competitiveness Technology Transfer Act of 1989 are to be specifically identified and added factor and depreciation rates appropriately footnoted.

Figure III-4.3
Third-Party Receipts from Technology Transfer Activities

5. COST OF WORK FOR OTHERS AND REVENUES

a. These schedules (see Figures III-5.1, III-5.2 and III-5.3) provide the basic input data required to formulate the FYBY budget submission for the Cost of Work for Others and Revenue Programs. **These programs differ from the Reimbursable program to the extent that participants in the Cost of Work for Others program are prohibited by law from making advance payments. For this reason the Department seeks appropriated funds from Congress.** Charges to this program are for products sold or services performed for non-DOE users which will ultimately reimburse DOE for all appropriate costs incurred. These charges are not to exceed the associated revenues to be received over the life of the project or activity. All costs should be in compliance with DOE Order 2110.1A, Pricing of Departmental Materials and Services. A separate schedule should be prepared for Cost of Work and Revenues. Additionally, schedules should be submitted by individual DOE Operations Offices and M&O contractors, as appropriate. **A copy of all budget submissions for this program should be forwarded to the Conservation, Administration and Regulation Branch, CR-146, in the Office of Budget.**

(1) Column (1) should show the Budget and Reporting (B&R) classification.

(2) Column (2) should identify all Cost of Work for Others, or Revenues, as appropriate, to the lowest possible B&R classification and contractors involved.

(3) Column (3) should show the FYPY latest estimate.

(4) Column (4) should show original FYBY budget request as submitted in the previous Field Budget submission.

(5) Column (5) should show the latest revised FYCY budget estimates.

(6) All revised estimates for FYCY should be explained (in bullet format) as changes from the FYCY President's Budget to FYCY Revised Request. (See Narrative Justification)

(7) Column (6) represents the FYBY estimate. Estimates are to be fully explained and justified (in bullet format) in the Narrative Justification.

(8) Column (7) should show the Assistant Secretary and appropriate program associated with the particular activity.

(9) For the Revenue schedule, the sub-headings below columns 3 thru 6 should reflect revenues collected (revenues expected to be collected and deposited in the special fund). If any collections should carry forth into the next fiscal year this should be explained in the Narrative Justification.

(10) For the Revenue schedule, show separately amounts for added factor and depreciation for each line item. For budget estimating purposes, the rate used to calculate added factor should be the most current rate issued by the CFO, (CR-1) at the time field estimates are prepared. The rate used should be indicated on submission schedules. Exceptions to the collection of the added factor and/or depreciation require the prior approval of the CFO.

(11) Narrative Justification:

(a) Summary of Changes from FYCY President's Budget to FYCY Revised Request;

(b) Summary of Changes from FYCY Revised Request to FYBY Request; and

(c) Explanation of the FYBY Estimates.

DEPARTMENT OF ENERGY
FYBY FIELD BUDGET REQUEST
COST OF WORK FOR OTHERS

Budget Contact: _____ (Dollars in thousands)
DOE Field Office: Kansas City DOE Field Office
Lab/Facility: Lawrence National Laboratory

B&R	Activity	FYPY Latest Estimate	FYCY President's Budget	FYBY Request (Direct) Cost	Assistant Secretary & Program	Agreement Number
WN-01	Products Sold:					
0102	Nuclear Reactor Material:	$ 3,033	$--	$--		
	- Heavy Water	4,773	5,367	5,367	DP-XXX	
0103	Radioisotopes	2,694	2,682	1,685	ER-XXX	
0104	Stable Isotopes					
0105	Handling Charges:					
	- Radioisotopes	208	230	230	ER-XXX	
	- Stable Isotopes	76	83	83	ER-XXX	
0119	Miscellaneous Products:					
	- United Kingdom	3600	2,000	1,000	CE-XXX	
Subtotal,	Products Sold	$14, 384	$10,362	$8,108		
WN-02	Services Performed:					
0202	Use of DOE-owned Facilities and Equipment:					
	- SERI	$--	$ 1,404	$2,000	CE-XXX	
	- University of California	3,000	3,200	3,200	ER-XXX	
0203	Irradiation Services and Test Reactor Experiments:					
	- General Electric	1,010	1,200	1,200	DP-XXX	
	- Ontario Hydro	290	--	--	DP-XXX	
0205	Security Investigations	6	6	6		
0206	Special Services and Fabrication:					
	- EPRI	500	600	600	NE-XXX	
	- Gas Research Institute	485	176	478	NE-XXX	
0207	Research for Production of Public Health and Safety:					
0219	Miscellaneous Services:					
	- REECO	2,037	1,129	2,200	DP-XXX	
	- Hot Dry Rock					
	--Germany	2,500	2,500	2,286	CE-XXX	
	- University of Tokyo	600	900	900	ER-XXX	
Subtotal,	Services Performed	$15,428	$14,115	$13,909		
TOTAL,	COST OF WORK FOR OTHERS	$29,812	$24,477	$22,017		

WN-01
0102 Heavy Water -
0103 Radioisotopes -

Summary of Changes from FYCY Request to FYBY Request:

Figure III-5.1
Cost of Work for Others

Department of Energy
FY 19BY FIELD BUDGET
REVENUES COLLECTED
(Dollars in thousands)

DOE FIELD OFFICE: Kansas City DOE Field Office
Lab/Facility: Livermore National Laboratory

B&R (1)	Activity (2)	FYPY Estimates Direct Cost	FYPY Estimates Indirect Cost Added factor (3)	FYPY Estimates Indirect Cost Depreciation	FYCY President's Budget Direct Cost	FYCY President's Budget Indirect Cost Added Factor (4)	FYCY President's Budget Indirect Cost Depreciation	FYBY Request Direct Cost	FYBY Request Indirect Cost Added factor (6)	FYBY Request Indirect Cost Depreciation	Assistant Secretary & Programs (7)
Revenues Associate with Costs of Work:											
ZN-01	Products Sold:										
0102	Nuclear Reactor Material :										
	- Heavy Water	$ 3,033	$212	$485							DP-XXX
0103	Radioisotopes	4,733	334	764	5,367	376	859	5,175	362	828	ER-XXX
0105	Stable Isotopes	2,694	189	431	2,682	188	429	1,685	118	270	ER-XXX
	Handling Charges:										
	- Radioisotopes	208	15	33	230	16	37	210	15	34	ER-XXX
0119	- Stable Isotopes	76	5	12	83	6	13	38	3	6	
	Miscellaneous Products:										
	- United Kingdom		3,600 252		576	2,000 140		160	1,000 70		160
CE-XXX											
Subtotal, Products Sold:		$14,344	$1,007	$2,301	$10,362	$726	$1,658	$8,108	$568	$1,298	
ZN-02	Services Performed:										
0202	-SERI				$1,404	$98	$225	$2,000	$140	$320	CE-XXX
	-University of California	3,000	210	480	3,200	224	512	3,200	224	512	ER-XXX
0203	Irradiation Services and Test										
	Reactors experiments:	1,010	71	162	1,200	84	192	1,200	84	192	DP-XXX
	-General Electric	6	1	1	6	1	1	6	1	1	DP-XXX
0205	Security Investigations										
0206	Special Services and Fabrication:										
	-EPRI	500	35	80	600	42	96	600	42	96	NE-XXX
0207	Research for Public Health & Safety:										
	-Gas Research Institute	485	34	78	176	12	28	478	33	76	NE-XXX
0219	Miscellaneous Services:										
	-REECO	2,037	143	326	1,129	79	181	2,200	154	352	DP-XXX
	-Hot Rock										
	--Germany	2,500	175	400	2,500	175	400	2,275	159	364	CE-XXX
	-University of Tokyo	600	42	96	900	63	144	900	63	144	Various
Subtotal, Services Performed		$10,138	$711	$1,623	$11,115	$778	$1,779	$12,859	$900	$2,057	
Total Revenues Assoc. w/ Cost of Work		$24,482	$1,718	$3,924	$21,477	$1,504	$3437	$20,967	$14,468	$3,355	

NARRATIVE JUSTIFICATION:
Summary of Changes from FYCY Budget to FYBY Request:
o ZN-0202 Increase at SERI for research related to Renewable Energy (+$596,000).
o ZN-0219 Increase is a result of additional R&D for the United Kingdom the ARMANDA II event (+4,641,000).
Explanation of the FYBY Estimates:
o Brief explanation of activities describing type of work being performed, research services, products sold, contractors, to whom work is being provided for (foreign and domestic), etc.
o Any new or cancellation of projects or contracts expected should be included in explanation.

Figure III-5.3
Revenues Not Associated with Work for Others

DEPARTMENT OF ENERGY
FYBY FIELD BUDGET
REVENUES NOT ASSOCIATED WITH COST OF WORK FOR OTHERS
(in thousands of dollars)

(Appropriation Symbol and Title)
(Organizational Component)

B&R	Agreement Activity Number	FYPY Estimate Direct Cost[1]	FYPY Estimate Indirect Cost[4] Added Factor[2]	FYPY Estimate Indirect Cost[4] Depreciation[3]	FYCY Estimate Direct Cost[1]	FYCY Estimate Indirect Cost[4] Added Factor[2]	FYCY Estimate Indirect Cost[4] Depreciation[3]	FYBY Estimate Direct Cost[1]	FYBY Estimate Indirect Cost[4] Added Factor[2]	FYBY Estimate Indirect Cost[4] Depreciation[3]
Revenues Not Associated With Cost of Work										
ZN-06	Nuclear Material:									
	0601 Nuclear Material Consumed:									
	- Navy	$ 4,000			$ 7,900			$ 4,870		
	DP - XXX									
ZN-07	Other Nuclear Material	400			500			50		
	DP - XXX									
ZN-08	Lease of Material	50			50			50		
	DP - XXX									
ZN-09	Recovery of Nuclear Materials:									
	- (Navy Department)	3,000			4,800			2,500		
	DP - XXX									
	- (Dupont)	2,400			2,405			2,400		
	DP - XXX									
ZN-19	Miscellaneous:									
	1903 Lease of Uranium Bearing Land	---			500			50		
	NE - XXX									
	1906 Sale of Reactor Steam	3,500			9,300			3,500		
	DP - XXX									
Total, Revenues Not Associated with Cost of Work		**$13,350**			**$25,455**			**$13,420**		

NARRATIVE JUSTIFICATION:

Summary of Changes from FYCY Estimates to FYBY Estimates:

o ZN-0601 Decrease in work performed for the navy Department at the Pittsburgh Naval Reactor (-$2,680,000).

Explanation of the FYBY Estimates:

o Brief explanation of activities describing type of work being performed, research services, products sold, contractors, to whom work is being provided for (foreign, domestic) etc.

o Any new or cancellation of projects or contracts expected should be included in explanation.

[1] Direct Cost is equal to Reimbursable Work Authority.

[2] Added Factor is to be based on the Departmental Rate, plus any office variable, taken against the direct costs to be incurred within the fiscal year.

[3] Depreciated rates are site specific and are also taken against the direct costs.

[4] All waivers are to be specifically identified and added factor and depreciation rates appropriately footnoted.

Figure III-5.3
Revenues Not Associated with Work for Others

6. **AIRCRAFT STUDY**

(a) Each aircraft acquisition whether by purchase, lease, transfer or forfeiture, with or without monetary cost, for use of 90 or more days, shall be justified by a cost comparison study conducted and documented in accordance with guidance provided by the Aviation Operations Team (EH-53). This study shall be approved by the senior aviation management official, of the Office of Field Support prior to budget submission.

(b) Each contract for aircraft or aviation services, for use of 90 or more days, through an exclusive use contract, shall be justified by an approved cost comparison study as in (a) above.

(c) Replacement of a current fleet aircraft shall be treated as an acquisition and the provisions of (a) above, applied.

7. SURPLUS FACILITIES MANAGEMENT

a. General. One of the objectives of the Department of Energy National Security Strategic Plan is to identify and transfer excess facilities to the Office of Environmental Management (EM). As you are aware, your site has already been actively involved in the identification portion of the objective through participation in the Surplus Facility Inventory and Assessment (SFIA) Project managed by EM-60. A list of the individuals responsible for managing the SFIA at your office is attached.

In order to plan for and facilitate their transfer, we need to identify the costs associated with surveillance and maintenance required to assure safety, security and environmental protection.

b. Reporting Requirements. Information indicated in Figure III-7 is to be submitted for each surplus facility, as described below.

(1) Funding requirements for surveillance and maintenance (S&M) need to be provided for all facilities in Groups I, II, and III of the SFIA Project database. In addition, provide S&M funding requirements for those clean surplus facilities in Group V which, at your discretion, required significant resources to maintain the facility in a safe and secure condition. S&M funding requirements include those activities and related processes (i.e., technical support and management) necessary to ensure that the facility remains in a safe condition. This includes, but is not limited to, inspection and monitoring of the facility and/or maintenance of barriers controlling radioactive and hazardous materials. Categories of activities include those related to direct and indirect support programs, such as emergency preparedness, projected building maintenance and repair, safeguards and security, safety and health, environmental compliance, radioactive and hazardous material and/or waste monitoring, custodial fees, utilities, leases, ad property taxes (or payments in lieu of taxes).

(2) Funding requirements for “Facility Assessment” need to be provided for those Groups I, II, and III facilities designated as “high ranking” (based on a raw or management adjusted score) or “unrankable” (not ranked due to lack of sufficient assessment information as determined by the SFIA process). Facility Assessment requirements are limited to those activities that need to be performed in order to complete the facility condition information requested in the SFIA Phase 2 checklist.

(3) Cost estimates should be developed by site area for fiscal years 1998 through 2002. A primary facility and its ancillary (support) facilities should be grouped together. For example, a reactor and related ancillary facilities should be

grouped together. Clear identification of all facilities involved in an area grouping is necessary to ensure all funding requirements are addressed. Please use the attached to develop your requirements. Be sure to include the Budget and Reporting (B&R) code for each primary facility. A brief narrative justification of what is included in your surveillance and maintenance and facility assessment costs is also required. On the last page of your requirements, include a TOTAL for all surplus facilities on the entire site.

c. Submission Requirements. The above information should be included in your FYBY Field Budget Request that is due to Headquarters, the due date is specified in the annual FYBY Field Budget Call. Please provide a copy of this schedule to the funding(owner) Headquarters Program Office and to the Office of Transition and Management (EM-60). Questions relating to this request can be directed to EM-60.

Department of Energy
FYBY Field Budget Request

Surplus Facilities Management Funding Requirements
(Dollars in Thousands)

Operations Office: _____
Point of Contact: _____ Phone: _____

	FYBY	FYBY + 1	FYBY + 2	FYBY + 3	FYBY + 4
Facility: _____					
B&R Code: _____					
Management Function					
1. Surveillance & Maintenance					
2. Routine Monitoring (e.g.,health physics and security)					
3. Facility Characterization					

1/ Narrative Justifications should be prepared for Fiscal Years PY-1 through BY

Figure III-7
Surplus Facilities

8. **ISOTOPES INVENTORY TRANSACTIONS**. The Budgeted Operations Statement (Figure III-8.1) summarizes the projected revenues and estimated expenses, and should be completed by using the data from Figure III-8.2. This statement focuses on anticipated receipts and disbursements. Do not include the cost of goods sold from inventory, but do include the revenue from inventory. Also, do not include any expenses for marketing, ST05. Marketing will be assigned by Headquarters. The Five Year Business Plan should provide guidance in dveloping your operations statements.

ATTACHMENT A
BUDGETED OPERATIONS STATEMENT

B&R CODE	ACTIVITY	FY BY	FTEs
	REVENUES		
ZN1001	Radioisotopes		
ZN1002	Stable Isotopes		
ZN1003	Services		
ZN1004	Other Revenue[1/]		
	TOTAL REVENUES		
	Total Production/Services Exp.		
ST0101	Radioisotopes		
ST0102	Stable Isotopes		
ST010109	Non Production Cost[2/]		
ST02	Services		
	Other Expenses		
ST03	Isotope Storage & Distribution		
ST08	Customer Sales/Services[3/]		
ST04	Process Development		
	Total Other Expenses		
	Funding Required ( ) or Returned to IP&D		

[1/]Other revenue includes such items as rental of hot cells, lease of shipping casks.

[2/]Includes current fiscal year costs of excess labor and capacity not directly attributable to a radioactive isotope pruduct costs and not charged to indirect expenses.

[3/]Explain the allocation method used to allocate sales offices costs to products.

Figure III-8.1
Budgeted Operations Statement

ISOTOPE REVENUE AND EXPENSE

ISOTOPE	REVENUE	REVENUE FROM INVENTORY	PRODUCTION EXPENSE
OTHERS			
TOTALS			

Notes: All driver (primary) isotopes should be reported and separated by radioisotopes and stable isotopes. Revenue and revenue from inventory sales should be summarized and recorded on Figure III-8.1. Likewise, production expenses should be summarized and included on Figure III-8.1.

Figure III-8.2
Isotope Revenue and Expense

9. **PLANNED ACQUISITION OF FIXED ASSETS**.

a. **Background**. The Office of Management and Budget (OMB) Circular A-11 Part 3, Planning, Budgeting, and Acquistion of Fixed Assets requires all agencies fully fund their fixed asset acquisitions and submit this information with their annual OMB budget request each September. During the initial implementation period of this policy, OMB is allowing for "phased funding" or funding by project stages which will occur over more then one year. For example, a construction project could first receive full, up-front funding for the planning and design stage and later receive full funding for the construction stage. In addition, projects with full funding will be placed in separate accounts from the operating budgets and into three new construction accounts in the following functional areas: 250, 270, 053. Agencies are required to provide the following information related to the acquisition of fixed assets as part of their initial budget submissions:

(1) Information on the impact of full funding of fixed assets now funded incrementally. This will allow for an identification of additional budget authority needed to fully fund accounts with these projects. See Figure III-9.1 for the content and format of the information requested from the program offices based on field input.

(2) A fixed asset plan and justification is required for each new or ongoing project with a total estimated cost of $20 million or more (i.e., life cycle cost of $20 million). This information includes a summary of spending for project stages; justification and other information; and cost, schedule, and performance goals. See Figure III-9.2 for the content and format of the information requested from the program offices.

(3) Major Definitions Summarized:

(a) *Fixed Assets:* Spending for fixed assets includes construction, major rehabilitation or environmental restoration including land, and the purchase of major items, such as land, buildings, or equipment, including information technology owned by the Federal Government.

(b) *Full Funding (or up-front funding):* The full amount of budget authority is available prior to initiation of or signing of any contract for acquiring the asset for a defined phase.

(c) *Incremental Funding:* The budget authority to acquire fixed assets is provided incrementally over several years; the full amount of budget authority is not available prior to initiation of or signing of any contract for acquiring the asset.

(d) *Phase* of the project means normally three phases, conceptual, design/characterization and construction/remediation. Full funding calls

for viable phases that will provide a product/end state at the completion. Other phasing maybe used if it can be shown that it makes sense.

b. Reporting Requirements. Each field site that requires or plans to acquire a fixed asset with a life cycle cost of $20 million or more in any of the next five years (including continuation and/or completion of ongoing projects) will prepare and submit both Exhibits 300A and 300B. Sites that have qualifying acquisitions, i.e., life cycle cost of $20 million or more funded by different programs, are to prepare a separate submission for each of the programs.

(1) For this submission, include anticipated spending for the acquisition of fixed assets to include building, construction, rehabilitation (including land), land acquisition and major items of equipment.

(2) Major computer acquisitions that meet the reporting threshold are to be included in this reporting requirement.

(3) Fixed Asset Projects, especially those in the later out years should be reported even though estimates are rough preliminary estimates and even though preliminary designs have not been prepared/completed. It is recognized that out year estimates will become firmer in successive annual submissions.

c. Fixed Asset Justification. Exhibit 300A is to represent all line item projects including operating funded projects for the site by the sponsoring program. Each project included in Exhibit 300A that has a life cycle cost of $20 million or greater is to be separately identified and justified in Exhibit 300B. Specifically, justifications are to include: a brief description of each fixed asset or project, the need in terms of mission support, quantitative need, e.g., square feet of floor space, safety and health risks, alternatives considered, results of economic analyses including life-cycle cost and benefit-cost analyses, etc. To shorten descriptive narrative sections, cross-reference and/or attach other duplicative budget material such as appropriate sections of Project Data Sheets.

d. Relationship to Program Plans. To the extent possible, future fixed asset acquisitions should be consistent with and linked to the accomplishment of planned program mission objectives. Field sites are encouraged to interact with Headquarters programs to obtain available out year planning guidance. In absence of specific and/or detailed out year guidance, field sites are to use “best judgment” in determining and describing fixed asset acquisition out year requirements.

f. Submissions. The Listing of Major Ongoing and Proposed Acquisition of Fixed Assets material is to be submitted to both the funding Headquarters program organization and to the Office of Field Management (FM-20) by July 30, 1997, based on FY1997 third quarter data (as of June 30).

g. Questions. General questions concerning this reporting requirement should be referred to the Budget Operations Division, Office of Budget, on 202-586-4016. Planning and programmatic questions should be referred to the appropriate Headquarters program organization. For more detailed instructions and definitions to complete the worksheets on Figures III-9.1 and III-9.2, please refer to OMB Circular A-11, Part 3, Section 300. For questions regarding the preparation of these reports or to request a copy of Section 300, please contact Pete Devlin at 202-586-4905 or Martin Newdorf at 202-586-9708.

IMPACT OF FULL FUNDING OF FIXED ASSETS

(Report all new and ongoing incrementally funded fixed assets)

Agency: Department of Energy
Appropriation Account Number/Title:_____
Program Office:_____

(Budget authority in thousands)

PY = Prior Year
CY = Current Year
BY = Budget Year

	PY	CY	BY	BY+1	BY+2	BY+3	BY+4	BY+5 and Beyond	Total unfunded amounts (Sum:BY+1 and beyond)
PART I: NEW Projects/Fixed/Assets Funded Beginning in BY or Later									
A. Annual incremental amounts of budget authority for new projects/fixed assets:									
Project No.1.....	na	na	100	100	100	100	100	0	400
Project No.2.....	na	na							
Project No.3.....	na	na							
Etc.....	na	na							
Total.....	na	na							
B. Full Up-front funding for new projects/fixed assets:									
Project No.1.....	na	na	500	0	0	0	0	na	na
Project No.2.....	na	na						na	na
Project No.3.....	na	na						na	na
Etc.....	na	na						na	na
Total.....	na	na						na	na

Example above shows a new $500,000 project funded incrementally (I.A.) and fully funded up-front (I.B.)

PART I: PAST Projects/Fixed/Assets Funded Beginning in BY or Later									
A. Annual incremental amounts of budget authority for past projects/fixed assets:									
Project No.1.....	10	10	10	10	10	10	0	0	30
Project No.2.....									
Project No.3.....									
Etc.....									
Total.....									
B. Full Up-front funding for past projects/fixed assets:									
Project No.1.....	na	na	40	0	0	0	0	na	na
Project No.2.....	na	na						na	na
Project No.3.....	na	na						na	na
Etc.....	na	na						na	na
Total.....	na	na						na	na

Example above shows an ongoing project (whose total cost is $60,000 with $40,000 still to be funded in BY and beyond) funded incrementally (II.A.) And fully funded up-front (II.B.)

na = not applicable

Figure III-9.1
OMB Circular A-11, Part 3
Exhibit 300A Worksheet

FIXED ASSET PLAN AND JUSTIFICATION

(Report only fixed assets with total estimated life cycle costs greater than $20 million)

Agency: Department of Energy

Appropriation Account Number/Title:_____

Program Office:_____

Project Name:_____

Check one: New Project____ Ongoing Project____

Check one: Is this project Information Technology? Yes____ No____

PART I: SUMMARY OF SPENDING FOR PROJECT STAGES

(In millions)

Project Stages[1]	PY-1& Earlier Years	PY	CY	BY	BY+1	BY+2	BY+3	BY+4	BY+5 and Beyond	Total
Planning:										
Budget authority										
Outlay										
Construction:										
Budget authority										
Outlay										

[1]Project stages will vary depending on the type of asset. For example, acquisitions on noncommercial assets might have stages of (1) research and development, (2) design, and (3) full acquisition.

PART II: JUSTIFICATION AND OTHER INFORMATION

A. Justification

A full justification for the asset and the cost of the asset is required. This should include but not be limited to a clear statement of how the asset will help the agency meet the agency mission, its long term strategic goals and objectives, and the annual performance plan being developed under GPRA; the basis for selecting the project; an analysis of full life-cycle costs; a cost-benefit analysis is required; an analysis of alternative options; the underlying assumptions; an estimate of the risk and uncertainty in meeting the goals; and other information requested by the OMB representative or important to the agency, based on the general principles of planning and analysis for fixed assets.

B. Program Management

1. Identify whether there is a program manager and contracting officer devoted to the project?
2. Will an Integrated Product Team be established to assist with the management of the project?

C. Contract Strategy

1. Identify whether the statement of work is performanced based. Summarize the performance goals in the contract.
2. Identify the preferred type of contract and why it was chosen. Identify other types of contracts that were considered and why they were not selected.

Figure III-9.2
OMB Circular A-11, Part 3
Exhibit 300B Worksheet 1 of 2

PART III: COST, SCHEDULE, AND PERFORMANCE GOALS

A. Description of Performance-based system:
[Describe the performance based system used to monitor the achievement or deviation from goals during the life cycle of the project.]

(In millions)

	PY-1& Earlier Years	PY	CY	BY	BY+1	BY+2	BY+3	BY+4	BY+5 and Beyond	Total

B. Previous baseline goals:
1. Previous technical schedule and scope goals [Identify previously approved baseline schedule and scope goals.]
2. Previous performance goals [Identify previously approved baseline performance goals, if any.]

C. Baseline goals:
1. Technical schedule and scope goals
[Using the performance-based management system discussed in A. above, show the dollar amount of the project that will be completed each year. Identify and discuss how many months it will take to complete the project, major technical components, and important baseline milestones within that time. Cost goals are to be reviewed by the CFO prior to inclusion in the budget.]

2. Performance goals:
[State the technical performance goals of the project as stated in the approved planning document and describe the relationship of the project to the overall mission of the agency.]

D. Current estimate:
1. Cost and schedule goals [Identify current estimates of the cost and schedule goals (from C.1 above)]
2. Performance goals [Identify current estimates of performance goals (from C.2 above)]

E. Variance from baseline goals:
1. Variance in cost:
[Identify whether the current total cost estimated at completion is 10% or more above the baseline goals. Discuss and give reasons why.]
2. Variance in schedule:
[Identify whether the current scheduled completion date estimate is 10% or more past the baseline schedule date. Explain why.]
3. Variance in performance goals:
[Identify whether performance goals deviate at all from the baseline plan. Discuss and give reasons for variances.]

F. Corrective actions:
[Discuss corrective actions needed or that have been taken to complete the project and the effect on final total cost, schedule, and performance goals.]

G. Proposed revisions to baseline goals:
[Agencies may propose revisions to the baseline cost, schedule, and performance goals if current estimates indicate that they are not achievable. The proposed revisions must be justified, with an estimated probability of achieving the new goals. OMB must approve any changes to the baseline.]

If baseline goals are being established for the first time this year and are the same as current estimates, leave sections D, E, F, and G blank.

Figure III-9.2
OMB Circular A-11, Part 3
Exhibit 300B Worksheet 2 of 2

10. **FINANCIAL MANAGEMENT ACTIVITIES**.

a. Reporting Field Entities and Responsible Program/Secretarial Officers

Reporting Field Entities	**Responsible Program/Secretarial Officers**
DOE Albuquerque Operations Office	Associate Deputy Secretary for Field Management
DOE Chicago Operations Office	Associate Deputy Secretary for Field Management
DOE Golden Field Office	Associate Deputy Secretary for Field Management
DOE Idaho Operations Office	Associate Deputy Secretary for Field Management
DOE Nevada Operations Office	Associate Deputy Secretary for Field Management
DOE Oakland Operations Office	Associate Deputy Secretary for Field Management
DOE Oak Ridge Operations Office	Associate Deputy Secretary for Field Management
DOE Ohio Field Office	Associate Deputy Secretary for Field Management
DOE Richland Operations Office	Associate Deputy Secretary for Field Management
DOE Rocky Flats Field Office	Associate Deputy Secretary for Field Management
DOE Savannah River Operations Office	Associate Deputy Secretary for Field Management
Alaska Power Administration	Washington, D.C. Liaison Office, Alaska, Southeastern & Southwestern Power Admin.'s
Southeastern Power Administration	Washington, D.C. Liaison Office, Alaska, Southeastern & Southwestern Power Admin.'s
Southwestern Power Administration	Washington, D.C. Liaison Office, Alaska, Southeastern & Southwestern Power Admin.'s
Western Area Power Administration	Western Area Power Admin.
Morgantown Energy Technology Center	Assistant Secretary for Fossil Energy
Pittsburgh Energy Technology Center	Assistant Secretary for Fossil Energy
Strategic Petroleum Reserves Project Office	Assistant Secretary for Fossil Energy
Naval Petroleum Reserves-California	Assistant Secretary for Fossil Energy
Naval Petroleum Reserves-CO, UT, and WY	Assistant Secretary for Fossil Energy
Headquarters CFO Organization	Headquarters CFO Organization

b. General Reporting Requirements

(1) It is the responsibility of the reporting field entities named above to submit the required Financial Management data **using the "Report on Resources for Financial Management Activities" (Exhibit 40A, Figure III-10b.1)** to both the Office of the Chief Financial Officer (see Points of Contact listed below) and the responsible Program/Secretarial Officer by the date specified in the Field Budget Call.

(2) All questions, correspondence, and submissions should be directed to the following figure-specific contact points within the Office of the Chief Financial Officer:

(a) **Figure III-10b.1, Report on Resources for Financial Management Activities (Exhibit 40A)**

CONTACT: Ben Chatterson, CR-42
PHONE: (301)903-4184 FAX: (301)903-0273

ADDRESS: U.S. Department of Energy
Office of Departmental Accounting and Financial Systems Development
Room E-119, Germantown Building
19901 Germantown Road
Germantown, MD 20874-1290

(b) **Figure III-10b.2, Audit of Financial Statements**

CONTACT: Judy Fuerstenberg, IG-33
PHONE: (202)586-0140 FAX: (202)586-0099

ADDRESS: U.S. Department of Energy
Office of Inspector General
Room 5A-193, Forrestal Building
1000 Independence Ave, S.W.
Washington, DC 20585

Due to a reduction in reporting requirements, this figure and supporting schedules will now be prepared by the Inspector General's office and provided to the contact point indicated above for submission to the Office of Budget.

(c) **Figure III-10e.5, Report on Obligations for Information Technology**

CONTACT: Micheala Brown, CR-44
PHONE: (301) 903-4027 FAX: (301) 903-1863

ADDRESS: U. S. Department of Energy
Office of Departmental Accounting and Financial Systems Development
Room E-128, Germantown Building
19901 Germantown Road
Germantown, MD 20874

c. Background/Reference

(1) The Office of Management and Budget (OMB) has revised reporting requirements for Schedule 40 of the Financial Management Activities. To more effectively implement these revisions, responsibility for reporting asset management, accounting and reporting, audit of financial statements, and financial management systems budget requirements has been delegated to the Office of Departmental Accounting and Financial Systems Development.

(2) The necessary submissions require data from both the Finance/Accounting and Budget offices of Field and Headquarters elements. Therefore, **coordination is vital**.

(3) Section 40, "Data on Financial Management Activities," of OMB Circular A-11, "Preparation and Submission of Budget Estimates," provides guidance on completing Exhibit 40A and can be used as a reference.

d. Figure III-10b.1, Report on Resources for Financial Management Activities .

(1) **Reporting Structure and Definitions**. All DOE Field CFO Organizations and other DOE Field locations which have **Federal Employees** dedicated to performing financial management activities are to provide the information requested. In completing this Figure, each Reporting Entity will detail its budget by the following functional categories:

(a) **Asset Management**: Includes resources for administrative expenses for credit programs consistent with the levels reported for credit program accounts under credit reform (i.e., amounts requested as a separate appropriation for administrative expenses in credit program accounts); resources devoted to debt collection for non-credit receivables; resources devoted to cash management; and resources devoted to property and inventory management and control.

(b) **Accounting and Reporting**: Includes resources for processing, recording **and reporting** of revenues, receipts, appropriations, apportionments, allotments, obligations, outlays, expenditures, assets, liabilities, and other financial transactions; reconciliation of asset and liability accounts, such as accounts or loans receivable, with subsidiary records and with external data, such as Treasury cash records; funds control and preparation of financial statements.

(c) **Audits of Financial Statements**: Includes resources for performing audits of financial statements, with separate identification for contract and in-house costs, as detailed on Exhibit 40A (entries 8102, 8201, and 8202). The amounts reported under "Audits of Financial Statements" for entry 3001 is the sum of entries 8201 and 9201; similarly, the amounts reported for entry 3002 is the sum of entries 8202, 9102, and 9202. Data on preparation of financial statements are no longer included in this category. It is now included in Accounting and Reporting.

(d) **Financial Management Systems**: Includes resources for financial management systems, which consist of financial systems and financial portions of mixed systems necessary to support financial management. Data reported should be consistent with information reported on Figure III-10e.3.

(2) **Reporting Requirements**. Your completed "Report on Resources for Financial Management Activities" is intended to report the total Federal staffing (FTEs) and dollars required to carry out the **Federal** financial management function in the field. This includes all of the resources required for field CFO organizations and other field locations which have Federal FTEs performing financial management activities. All direct costs to support DOE's financial management function are to be reported, excluding those resources dedicated to the procurement function and those resources required principally for program management and having only secondary responsibilities for financial management.

(a) Information on contractual support ("Support Contracts") for DOE's financial management responsibilities is required; however, the M&O contractor's financial management functions should be excluded from the amount reported.

(b) FTE's should be reported for each of the two years (CY and BY) and should reflect total FTE's required to perform financial management activities for each year.

(3) **Explanation of Changes.** In completing the "Report on Resources for Financial Management Activities," please provide explanations for significant changes from CY to BY.

EXHIBIT 40A

DEPARTMENT OF ENERGY FIELD OFFICE:
(In thousands of dollars)

REPORT ON RESOURCES FOR FINANCIAL MANAGEMENT ACTIVITIES

		CY	BY
	Asset Management		
1001	No. Of FTE		
1002	Budget Authority		
	Accounting and Reporting		
2001	No. Of FTE		
2002	Budget Authority		
	Audits of Financial Statements		
3001	No. Of FTE		
3002	Budget Authority		
	Financial Management Systems		
4001	No. Of FTE		
4002	Budget Authority		
	Subtotal		
5001	No. Of FTE		
5002	Budget Authority		
	Adjustments		
6001	No. Of FTE		
6002	Budget Authority		
	Total, net		
7001	No. Of FTE		
7002	Budget Authority		
	Audits of Financial Statements[1/]		
	Contract		
8102	Budget Authority		
	In-house costs		
8201	No. Of FTE		
8202	Budget Authority		
	Org-wide Financial Statements[2/]		
	Contract	Org-wide Financial Statements will be	
9102	Budget Authority	prepared by the Inspector General's	
Office			
	In-house costs		
9201	No. Of FTE		
9202	Budget Authority		
	Total, all reporting entities		
9401	No. Of FTE		
9402	Budget Authority		
9998	Agency Contact:		
9999	Telephone Number:		

[1/] These figures are for the 10 reporting entities required by the CFO Act.

[2/] These figures are for Department-wide Financial Statements audit costs.

Figure III-10b.1
Report on Resources for Financial Management Activities

DEPARTMENT OF ENERGY
FYBY FIELD BUDGET
AUDIT OF FINANCIAL STATEMENTS
(Dollars in Thousands)

Organization:
Contact:
Phone:

	FYCY Estimate		FYBY Estimate	
	FTE	BA	FTE	BA
Working Capital Fund				
Contract				
In-house costs				
Subtotal, Working Capital				
Organization-wide Financial Statements				
Contract				
In-house costs				
Subtotal, Organization-wide				

Figure III-10b.2
Audit of Financial Statements

e. Financial Management Systems (FMS) Five-Year Plan. FMS Five-Year Plan information is required for DOE compliance with FMS Management oversight responsibilities as prescribed by the Office of Management and Budget (OMB) Circular A-127, "Financial Management Systems". The information collected through the Field Budget Call aides in the preparation of the FMS portion of the DOE Chief Financial Officer (CFO) Five-Year Plan, as required by the CFO Act of 1990, and for preparation of DOE FMS Budget submissions, as required by the OMB Circular A-11, "Preparation and Submission of Budget Estimates".

(1) Compliance with Financial Management Systems Five-Year Plan reporting is required of:

- all DOE organizations operating, maintaining, or utilizing an inventoried component of the Department's Single Integrated Financial Management System (see subparagraph III-10.e.(3)), and

- all organizations maintaining or operating one of the inventoried financial systems of the integrated management and operating (M&O) contractors (see subparagraph III-10.e.(4)).

(2) For reporting purposes, the following definitions, as defined in OMB Circular A-11, are applicable:

An ***information system*** is the organized collection, processing, transmission, and dissemination of information in accordance with defined procedures. Information systems include non-financial, financial, and mixed systems, as defined below.

A ***financial management system*** consists of financial systems and the financial portions of mixed systems necessary to support financial management.

A ***financial system*** is an information system, comprised of one or more applications, that is used for any of the following:

- collecting, processing, maintaining, transmitting, and reporting data about financial events;
- supporting financial planning or budgeting activities;
- accumulating and reporting cost information; or
- supporting the preparation of financial statements.

A financial system supports the financial functions required to track financial events, provide financial information significant to the financial management of the agency and/or required for the preparation of financial statements.

A ***mixed system*** is a system that supports both financial and non-financial functions of the Federal Government or components thereof.

A ***non-financial system*** is a system that supports non-financial functions of the Federal Government or components thereof and any financial data included in the system are insignificant to agency financial management and/or are not required for the preparation of financial statements.

A ***financial management system initiative*** requires a budgetary investment that: a) creates a new system (a system that automates previously manual functions or functions not previously performed by the agency), b) replaces an existing system or set of systems, or c) upgrades an existing system or set of systems (where an upgrade provides major enhancements to a system or systems that add significant functionality).

The ***information systems life cycle*** includes the phases through which information systems pass, typically characterized as initiation, development, operation, and termination.

(3) **Financial Management Systems (FMS) Five-Year Plan for DOE Organizations**. DOE Department-wide policy and procedures governing financial management systems activities are set forth in DOE Order 534.1, "Accounting", and have been established to ensure that:

- DOE continues to work towards the consolidation and standardization of its financial management systems consistent with OMB Circular A-127 and the CFO Act of 1990, and

- No funds shall be expended for FMS corrective actions or enhancements not approved as conforming with OMB FMS objectives, nor for the continued operation of an FMS not in conformance with OMB FMS objectives unless progress towards conformity is demonstrated.

(a) **Underlying Policy**. OMB requires that each agency's financial system shall be integrated into and made a part of one modern, well-planned and designed agency financial management system. This includes agency consolidation and standardization of similar type systems and sub-systems components to include financial system interfaces where possible and feasible, use of modern technology and systems concepts, single source entry, data base sharing, and flexible reporting processes.

(b) **Consolidation Goals**. OMB requires that each agency should have an integrated financial system made up of a single budget and accounting system, one payroll system, etc. These may be supported by subsystems

for separate programs or organizational units, adapted to their needs, that use uniform procedures, data classifications and definitions, and function as an integral part of the overall system.

(c) **Reporting Requirement for FMS Plans**. All DOE organizations (see subparagraph III-10.e.(4) for M&O contractors) operating, maintaining, or utilizing one of the inventoried components of the Department's Single Integrated Financial Management System (SIFMS) must prepare and submit a financial management systems plan. The inventoried financial systems of SIFMS include:

- Departmental Funds Distribution System (FDS),
- Financial Information System (FIS),
- Departmental Integrated Standardized Core Accounting System (DISCAS),
- Departmental Payroll/Personnel System (PAY/PERS),
- Departmental Budget Formulation System (DBFS), and
- management information systems of Southwestern and Western Area Power Marketing Administrations.

All Field organizations should provide their submissions with a memorandum signed by the Field CFO or Financial Officer. FMS Plan submissions are to be provided no later than April 30, 1997, to the Office of Departmental Accounting and Financial Systems Development (CR-40), within the Office of Chief Financial Officer.

1 *CFO Five-Year Plan*.

a *FMS Schematic*. Provide a schematic of the FMS environment. Identify data flows, subsystem components, and interfaces to other major DOE financial systems.

b *Description of Operations*. Provide a brief description of the FMS operation, including dollars processed annually, for major financial accounting activities. Indicate FMS compliance with the principles and standards developed by the Comptroller General and implemented through OMB Circular A-127, and with the "Core Financial Management System (FMS) Requirements" published by the Joint Financial Management Improvement Program. Use the format provided in Figure III-10e.1.

c *Justification of FMS Upgrades*. Provide a synopsis of the justification for the FMS upgrades currently undertaken or planned. The synopsis should include narrative descriptions

of the following items: purpose, scope, functional objectives, technical approach, related functions to be replaced, key participating organizations, current status of project with anticipated completion date, and any other information necessary to provide an understanding of the project.

d *FMS Nonconformances.* List FMS nonconformances identified as a result of a Limited or Detailed Review or an independent third-party audit. If there are no nonconformances, indicate FMS compliance.

e *Improvement Projects and Milestones.* Provide a list of FMS improvement projects and milestones. Describe the FMS relationship and/or interface to the Department's Single Integrated Financial Management System and provide benefits to be realized upon implementation of planned improvements.

f *Inventory of Financial Systems.* Complete an inventory of the financial system currently being utilized as the baseline application. For all future targeted financial systems being developed or being modified to incorporate additional or different FMS data other than reported in the baseline application inventory, complete an additional inventory of the financial system, change the title on the format from "Inventory of Baseline Application" to "Inventory of New or Revised Application". Use the format provided in Figure III-10e.2.

2 *Report on Obligations for Information Technology.*

a *FMS Obligation Reporting.* The "Report on Obligations for Information Technology" is required by OMB Circular A-11, "Preparation and Submission of Budget Estimates". Reporting on FMS costs is required for all of the following types of systems even if they fall below the $50 million threshold (for life cycle costs): all core financial systems; financial and mixed systems critical to effective agency-wide financial management, reporting and control; and any financial and mixed systems appearing on the high risk list in the most recent annual budget.

b *Purpose.* Data on acquisition, operation, and use of information technology are collected for oversight of the acquisition and use of automatic data processing,

telecommunications, and other information technology to provide for more effective and efficient management of information and resources. Data gathered is used in direct support of information analysis and reporting required by the Chief Financial Officer's Act of 1990.

c *Detailed FMS Obligation Report*. Complete the OMB form "Report on Obligations for Information Technology" provided in Figure III-10e.3, using the OMB definitions provided below.

d *Definitions for FMS Obligation Reporting.*

1. Equipment	Any equipment or interconnected system or subsystem of equipment used in the automatic acquisition, storage, manipulation, management, movement, control, display, switching, interchange, transmission, or reception of data or information.
A. Capital purchases	Capital investments for equipment for data processing and telecommunications, such as supercomputers, mainframes, minicomputers, microcomputers, analog and digital private branch exchanges (PBX), ancillary equipment, such as disk drives, tape drives, plotters, printers, storage and back-up devices cable-connected to computers, digital imaging equipment, optical storage and/or retrieval equipment (e.g., optical character recognition devices, computer-generated microfilm and other data acquisition devices), punch card accounting equipment and office automation equipment that was designed for use in conjunction with or controlled by a computer system; telecommunications networks and related equipment, such as voice communications networks, data communications networks, local area networks, terminals, modems, data encryption devices, fiber optical and other communications networks, packet switching equipment, terrestrial carrier equipment (e.g., multipliers and concentrators), lightwave, microwave or satellite transmission and receiving equipment, telephonic (including cellular and other hand held devices) equipment, and facsimile equipment. Does not include furniture, typewriters, copiers, calculators, or microfilm/microfiche equipment.
B. Other equipment purchases/leases	Non-capital purchases or leases for equipment as defined above.
2. Software	Any software, including firmware, specifically designed to make use of and extend the capabilities of Federal Information Processing (FIP) equipment identified in item 1 above.
A. Capital purchases	Software purchases (including one-time obligations for long-term licenses) or leases costing $25,000 or more for system programs (e.g., control and library programs, assemblers, compilers, interpreters, utility programs, sort-merge programs, and maintenance-diagnostic programs); application programs; and commercial-off-the-shelf (COTS) software (e.g., word processing, communications, graphics, file-management and database management system software). Software also includes independent subroutines, related groups of routines, sets or systems of programs; databases; and software documentation.
B. Other software purchases/leases	Software purchases or leases costing less than $25,000.
3. Services	Any service, other than support services, performed or furnished by using the equipment or software identified in items 1 and 2 above. Services include teleprocessing, local batch processing, electronic mail, voice mail, centrex, cellular telephone, facsimile, and packet switching of data.
4. Support services	Any commercial services, including maintenance, used in support of equipment, software, or services identified in items 1, 2, and 3 above. Support services include source data entry, training, planning for the use and acquisition of information technology, studies (e.g., requirements analysis, analyses of alternatives, and conversion studies), facilities management of government-furnished information technology, custom software development, system analysis and design, and computer performance evaluation and capacity management.
5. Supplies	Any consumable item designed specifically for use with equipment, software, services, or support services identified in items 1, 2, 3, and 4, above.

6. Personnel (compensation and benefits)	Includes the salary (compensation) and benefits for government personnel (both civilian and/or military) who perform information technology functions 51% or more of their time. Functions include but are not limited to policy, management, systems development, operations, telecommunications, computer security, contracting, and secretarial support. Personnel in user organizations who simply use information technology assets incidental to the performance of their primary functions are not to be included.
7. Other (DOD only) A. Capital purchases B. Other purchases	Include items not otherwise reported in items 1 through 6 above. Items costing $25,000 or more. Items costing less than $25,000.
8. Intra-governmental payments	Payments for all information technology services within agencies, between executive branch agencies, judicial and legislative branches, and State and local governments.
9. Intra-governmental collections (-)	Collections for all information technology services within agencies, judicial and legislative branches, and State and local governments.
10. Total obligations	The sum of items 1 through 9 above.
11. Workyears	Estimated number of workyears associated with the civilian and/or military personnel reported in item 6 above.

Financial Management Systems Description

Organization: _____
Financial Management System: _____

System Manager:

(1) Name
(2) Title
(3) Address
(4) Telephone Number

DESCRIPTION OF SYSTEM

1. Purpose

   Include functions performed and applicable Reimbursable cross-servicing.

2. Major System Outputs

3. Major System Inputs

4. Annual Dollars Processed, Accounted, Controlled, etc.

5. Number of Transactions Processed Annually

   Unit costing of major types of transactions processed within program (indicate major types of transactions, number of transactions, total costs for number of transactions and unit cost of each transaction.)

6. Data Accuracy and Timeliness Indicators

Figure III-10e.1
FMS Description

Inventory of Baseline Application
Department of Energy

April 1997

Inventory of Financial Systems

Financial System Name: Single Integrated Financial Management System (SIFMS)
Application Name: _____

Responsible Organization, Contact Person, and Telephone Number

_____

Business Area Served: _____
Application Purpose: _____

Application Type (choose only one):

- ___ Acquisition (Procurement, Purchasing)
- ___ Core Financial
- ___ Executive Information System
- ___ Government-wide Processing/Information System
- ___ Personnel/Payroll - Civilian
- ___ Personnel/Payroll - Other (military, foreign service)
- ___ Other
- ___ Budget Formulation
- ___ Labor Distribution
- ___ Inventory/Property
- ___ Loan
- ___ Revenue
- ___ Travel

Functions Supported (check all that apply):

- ___ General Ledger
- ___ Funds Control
- ___ Accounts Payable
- ___ Cost Accumulation/Distribution
- ___ Deposits
- ___ Time and Attendance
- ___ Civilian Payroll
- ___ Resource Planning
- ___ Inventory
- ___ Personal Property Management
- ___ Direct Loans
- ___ Grant Management
- ___ Other (please specify) _____
- ___ Budget Execution
- ___ Budget Formulation
- ___ Accounts Receivable
- ___ Disbursements
- ___ Personnel
- ___ Labor Distribution
- ___ Military Payroll
- ___ Procurement
- ___ Seized/Forfeited Assets
- ___ Real Property Management
- ___ Guaranteed Loan
- ___ Management Information
- ___ Travel

Application Status: ___ Operational ___ Under Development ___ Phased ___ Discontinued

Future Plans for Application:

- ___ Not planned for upgrade or replacement in the next 5 years
- ___ Upgrade planned or underway
- ___ Replacement planned or underway (identify replacement application) _____
- ___ Plans not yet developed

Figure III-10e.2
Inventory of FMS
(Page 1 of 3)

Inventory of Financial Systems (Continued)

Financial System Name: Single Integrated Financial Management System
Application Name: _____

Date of Software Implementation (actual or projected: the date the application was originally implemented) _____
Date of Last Major Software Upgrade Implemented: _____
Estimated System Life Cycle Length: _____
Year 2000 Problem? __ Yes __ No

Does this application relate to any FMFIA non-conformances or material weaknesses? (reference page number(s) of 1996 FMFIA report): _____

Source of Software (check all that apply):

__ Commercial off-the-shelf (list vendor and package name, if known)
__ Custom-developed by contractors (list contractors, if known)
__ Custom-developed in-house
__ Obtained from another agency (list the agency, if known)
__ Cross-serviced by another agency (list the agency, if known)
__ Not yet determined
__ Other (please specify) _____

Technical Environment (check all that apply):

__ Mainframe __ Midrange
__ Client/Server __ PC
__ Card Services __ Internet
__ Manual __ Other

List, if known, the hardware vendor, hardware type and general configuration (e.g., mainframe, PC, client-serve, LAN), operating system (e.g., MVS, UNIX), and primary data management environment (e.g., sequential files, VSAM, DB2, Oracle, ADABAS, Rdb). _____

How does this application use the U.S. Government Standard General Ledger?

__ Fully implemented at transaction level
__ Partially implemented at transaction level
__ Automatically crosswalks for all applicable accounts
__ Automatically crosswalks for some accounts
__ Requires manual processes for crosswalking
__ No implementation of the SGL
__ Not applicable (describe why) _____

Figure III-10e.2
Inventory of FMS
(Page 2 of 3)

Inventory of Financial Systems (Continued)

Financial System Name: Single Integrated Financial Management System (SIFMS)
Application Name: _____

Level of Compliance with Government-wide and Agency-specific Functional Requirements (check one in each column):

External Reporting	Internal Reporting	Processing	
__	__	__	Meets or exceeds all requirements
__	__	__	Meets most major requirements, but not all
__	__	__	Meets very few or no requirements
__	__	__	Not applicable

Compliance with JFMIP Function Requirements:

__ Yes __ No __ Not applicable

Level of compliance with Agency Information Technology Standards (check one or more):

__ Meets targeted agency IT standards
__ Meets current agency IT standards
__ Does not meet significant agency standards
__ Operates in obsolete IT environment
__ Agency does not have IT standards

Date Departmental IT Standards were issued: _____

Level of compliance with agency standard data classifications for recording financial events and reporting:

__ Total Information Architecture, meets all data classification standards within an agencywide information architecture for all information
__ Core Financial Information, meets agencywide data classification standards for only the accounting classification structure as described in JFMIP Core Financial Systems Requirements
__ Not expected to meet agencywide data classification standards because of replacement plans
__ Does not meet agencywide data classification standards for financial information
__ Agency does not have data classification standards for financial information

Annual Transaction Volume (financial events processed as transactions during a year): _____

Figure III-10e.2
Inventory of FMS
(Page 3 of 3)

REPORT ON OBLIGATIONS FOR INFORMATION TECHNOLOGY
DEPARTMENT OF ENERGY
Organization
FMS Name and Acronym
(in Thousands of Dollars)

Check only one:	Check only one:
__ Non-financial	__ New system
__ Financial	__ Replacement system
__ Mixed (___% of Financial)	__ Existing system (___% of upgrade(s))

	PY FY 1996	CY FY 1997	BY FY 1998
1. Equipment			
A. Capital purchases			
B. Other equipment purchases/leases	_____	_____	_____
Subtotal			
2. Software			
A. Capital purchases			
B. Other software purchases/leases	_____	_____	_____
Subtotal			
3. Services			
4. Support Services			
5. Supplies			
6. Personnel (compensation/benefits)			
7. Other (DoD only)			
8. Intra-governmental payments			
9. Intra-governmental collections	_____	_____	_____
10. Total obligations			
11. Workyears (FTEs)			

PY = Prior Year CY = Current Year BY = Budget Year

Figure III-10e.3
Obligations for Information Technology

(4) **Financial Management Systems (FMS) Plan Input for DOE Integrated Management and Operating (M&O) Contractors**. The Department relies heavily on the integrated management and operating contractors, which maintain separate sets of accounts and records for recording all business transactions in accordance with Departmental accounting practices and procedures. Each integrated contractor has a separate and unique financial management system with little commonality among the contractors except for their ability to report by the Department's requirements. DOE Departmentwide policy and procedures governing financial management systems activities are set forth in DOE Order 534.1, "Accounting", and have been established to ensure that:

- DOE integrated M&O contractors continue to work towards a single, integrated financial management system consistent with Office of Management and Budget Circular A-127 and the Chief Financial Officer (CFO) Act of 1990, and

- Funds should not be expended for integrated M&O contractor FMS corrective actions or enhancements that do not conform with Departmental FMS objectives nor for the continued operation of an FMS not in conformance with Departmental FMS objectives unless progress towards conformity is demonstrated.

(a) **Underlying Policy**. The Department encourages that each DOE integrated M&O contractor's financial system be integrated into and made a part of one modern, well planned and designed financial management system. This includes consolidation and standardization of similar type systems and sub-systems components to include financial system interfaces where possible and feasible, use of modern technology and systems concepts, single source entry, data base sharing, and flexible reporting processes.

(b) **Consolidation Goals**. The Department encourages each DOE integrated M&O contractor to work towards an integrated financial system made up of a single budget and accounting system, one payroll system, etc. These may be supported by subsystems for separate programs or organizational units, adapted to their needs, that use uniform procedures, data classifications, and definitions, and function as an integral part of the overall system. The purpose of the information reported is to ensure that FMS planned improvements conform with Departmental FMS objectives, identify opportunities for consolidation and standardization of FMS subsystem components, and provide FMS data for the preparation of DOE's FMS five-year planning strategies for annual reporting to OMB.

(c) **Reporting**. - All organizations utilizing, maintaining or operating one of the inventoried financial systems of the integrated M&O contractors must prepare and submit a financial management systems plan. Integrated M&Os should submit their FMS plan through the appropriate DOE field organization under a cover memorandum signed by the Field CFO or Financial Officer. One copy of the FMS submission is to be provided directly to the Office of Departmental Accounting and Financial Systems Development (CR-40), within the Office of CFO, no later than April 30, 1997.

(d) **DOE Integrated M&O Contractors FMS Plan**.

1 *FMS Schematics*. Provide a baseline and a five-year target schematic depicting the integrated M&O contractor's single, integrated FMS environment. Each schematic should be a high-level (1-page) diagram that identifies major data flows, subsystem components, and interfaces to other major contractor or DOE financial systems. Future FMS Plan submissions will be required to report progress against the baseline configuration.

The system categories below have been identified to aid integrated M&O contractors in determining those information systems that should be included in the FMS Plan. Contractors should identify their systems that fall into these categories and then determine if those systems are part of their single, integrated financial management system (i.e., they process financial events or pass a significant amount of financial data to other financial subsystems). Financial systems that do not fit into one of the defined system categories should also be identified. Additional criteria for including financial systems in the FMS Plan are:

- Systems with lifecycle costs > $250,000, or
- Systems having an external impact, or
- Systems supporting Records Management functions, regardless of cost.

The resulting set of systems should be reported in the FMS Plan. The candidate system categories are:

Accounts Receivable - Supports the billing, collection, and detailed reporting of taxes, fees, and other revenues.

Accounts Payable - Supports activities associated with establishing payables and disbursing funds. Examples of

disbursement types include transactions for the payment of goods and services received, advances, prepayments, imprest fund reimbursements, loans, grants, transfer payments to persons, and insurance payments.

Budget/Funds Control - Supports the preparation of budget information during the budget formulation process and the establishment of a baseline from which to build the budget, tracks investments and modifications to the budget, and tracks the status of the budget request as it moves through the process until receipt of financial plan.

Cash Management - Supports receipt of monies due to the company and the management of the company's cash reserves, including managing cash-on-hand, managing deposits, monitoring Federal Reserve fund balances, making tax calculations and payments, and writing checks.

Cost Accounting - Supports the collection of data from the common data sources (and from the financial and budgetary accounting system as necessary), the processing of that data, and the reporting of cost information in general purpose and special purpose reports. As a part of the system, procedures and practices are established to enable appropriate collection, measurement, accumulation, analysis, interpretation, and communication of cost information.

DOE FIS/MARS Interface - Is the Departmental financial information system that accumulates data from financial subsystems and consolidates that data for Departmental reports issued internally, and to the OMB, Treasury and Congress.

General Ledger - Supports the structural discipline over data used in the financial accountability functions of budget execution, financial accounting, cash management, and cost accounting that is designed into financial management systems to ensure consistency with data used in the transaction tracking functions. General ledger control provides the structural framework to ensure financial accountability functions within an agency are maintained consistently throughout the financial management systems.

Grant Management - Supports management of grants (including shared revenue), subsidies, gratuities, and other aid for which cash payments are received by non-Federal Government organizations and individuals.

Human Resources - Supports Human Resources functions including Affirmative Action/Equal Opportunity Employment (AA/EEO), Benefits, Compensation, Labor Relations, Staffing, and Training.

Inventory - Supports the management of inventory used to support the mission of the agency and supports the functions of needs determination, inventory in storage, inventory in production, inventory disposition, and program planning and monitoring.

Labor Distribution - Supports distribution of employee labor charges across accounts.

Payroll - Supports collection and maintenance of payroll information, processes time and attendance information, performs leave and payroll computations (including retirement contributions), supports payments of social insurance benefits and other transfer payments, and calculates and delivers pay (checks, Electronic Funds Transfer, etc.).

Procurement - Supports the acquisition process of obtaining goods and services; prepares and tracks the status of requisitions, purchase orders, and contracts; records and validates the receipt of goods and services; and provides information to the core financial system for matching invoices and issuing payments.

Project Management - Supports planning and tracking of project tasks, estimating resource requirements, and measuring project results.

Property Management - Supports physical and accounting control over fixed and movable assets.

Real Property Management - Supports management and administrative activities associated with real property.

Service Centers - Supports collection of a specific service or group of services performed by specific technical and/or administrative services; distribution of costs at standard rates representative of services used by others; and often referred to as a recharge.

Time and Attendance - Supports capture, maintenance, and processing of time and attendance information to support both payroll and labor distribution.

Travel - Supports management of travel activities and expenses and prepares and tracks the status of travel orders, advances, and vouchers as they go through the various stages of preparation, approval, and processing.

2 *FMS Schematic Descriptions*. Provide separate text descriptions of the baseline, current (if included), and five-year target FMS schematics. These descriptions should be high-level and should explain the general sequence of processing and flow of information through the financial subsystems shown on the schematics. Descriptions should also explain subsystems that perform functions from multiple system categories and subsystems that actually represent multiple information systems (e.g., a Human Resources Information System shown on the schematic may actually be composed of 20 individual information systems). Improvements described in connection with the five-year target schematic should reference current or planned improvement projects.

3 *FMS Components List and Inventory*. Provide a list of all subsystems (e.g., a Payroll System, a Property System, etc.) that are part of the single, integrated FMS. Include subsystems that are planned or in development as a result of current systems modernization projects. The list should contain each system name, system acronym, and the associated system category.

4 *Description of Accomplishments*. Provide a description of accomplishments that would show an indication of the contractor's progress against the baseline and other significant systems/information sharing or integration efforts suitable for reporting to OMB. Accomplishments may include any of the following:

- any reduction in the total number of FMS components (from that reported in the baseline) (e.g., the combining

of three site-specific systems into one centralized system with standardized business rules);

- any shared system efforts, including: 1) system demonstrations to other integrated M&O contractors, and 2) actual system transfers to other contractors;

- participation on any Financial Management Systems Improvement Council (FMSIC) Functional & Operational Requirements (F&OR) teams or other appropriate FMSIC initiatives (e.g., benchmarking);

- participation on other DOE contractor sharing or integration initiatives;

- any progress in the area of Electronic Commerce;

- use of commercial off-the-shelf (COTS) packages;

- franchising (providing services identified as a high-performance specialty area of the providing contractor to other integrated M&O contractors) or smartsourcing (efficient subcontracting of services that are outside the core competencies of the integrated M&O contractor) efforts; and

- money and FTE cost savings totals and process improvements achieved through modernization efforts.

5 *FMS Improvement Project Descriptions.* Provide a description of FMS improvement projects (new development or major enhancements to existing systems). Improvement projects should be reported in the FMS Plan if the project:

- does not represent maintenance and operations of existing systems,

- will cost $250,000 or more, and

- will take longer than six months from project initiation through the start of production runs (i.e., more than a six-month life cycle).

Project descriptions should include a high-level explanation of the project, the impact that the project will have on the baseline and/or current environment (including a discussion of systems that will be enhanced or replaced and new systems that will be created), and the total project cost by year from project initiation through implementation of new systems or completion of the project. Project costs should be included as a single total for each year that should include capital investments needed to support the system; personnel (contractor plus any subcontractor support) costs; equipment rental, space, and other operating costs; and commercial services costs. Personnel costs should include the costs of end-users who are dedicated to the project (even if they do not charge their time to the project).

Note: The Federal Information Processing Standards Publication 105, June 1994, page 6, defines "Maintenance/Enhancement" as "resolving problems not detected during testing, improving the performance of the product and modifying the system to meet changing requirements."

11. **LANDLORD FUNDING**.

a. Introduction:

(1) **For this budget cycle there are no other changes in funding responsibility or in funding methods for landlord cost. This means for budgeting purposes, landlord guidance entitled, "Secretary of Energy Landlord Funding Implementation Guidance" issued by the Director of Administration and Management on October 22, 1992 remains in effect for funding landlord costs.**

(2) For this cycle, previously named Lead PSOs retain indicated landlord funding responsibilities at designated Operations Offices and Site Offices. Previously named PSOs that were designated as the landlord for a contractor plant site shall continue their indicated landlord funding responsibilities for those sites.

(3) It is recognized that some specific changes in landlord designations have been recognized and approved since the issuance of the October 22, 1992 landlord guidance. Changes in landlord designation and funding responsibilities have only been made in instances where a replacement organization has agreed to assume the responsibility. Issues or concerns regarding landlord cost funding responsibility should be promptly raised to the Office of the Associate Deputy Secretary for Field Management (FM-1) and to the Office of the Chief Financial Officer (CR-1) for clarification/resolution.

b. Operations Offices:

(1) The funding requirements associated with Operations Offices can be viewed in two discreet categories. The first category is landlord, and the second is program direction.

(a) Landlord - In accordance with provisions of the October 22, 1992 landlord guidance memorandum, the then indicated lead PSO is responsible for funding the landlord requirements for designated Operations Offices. This includes any infrastructure requirements (such as a telephone switch that serves the entire reservation) that are not within the plant fences, as well as any other institutional support requirements that are not program or site specific.

1 Examples of institutional support requirements are:

- roads and grounds outside the plant fences
- site planning for other than a plant site
- Operations Offices security guards

- operation of the Operations Office Emergency Operations Center
- operation of any museums that are not operated by an M&O (in which case the M&O's overhead would fund the operation)

(b) Program Direction - Previously indicated lead PSOs are responsible for funding the salaries, benefits, travel and contractual services of the FTE's assigned to them. In addition, this PSO is to provide program direction funds for the general support that cannot be easily identified with any particular FTE.

1 Examples of general Operations Offices support costs are:

- rent
- communications
- utilities
- printing and reproduction
- janitorial
- maintenance of motor pool
- general administrative support services
- other contractual support service costs which are generally not easily identified with an individual FTE

c. Site Offices:

(1) Site Offices are DOE offices located at contractor facilities. The funding requirements associated with DOE Site Offices can generally be viewed in two categories. These are: 1) M&O provided services, and 2) program direction.

(a) M&O Provided Services - Any Site Office support costs that cannot be easily split out or identified to the Site Office due to co-location with an M&O should be absorbed by that M&O. These are usually insignificant in amount.

1 Examples of M&O provided services are:

- janitorial
- utilities

(b) Program Direction

1 In all cases Site Office costs are to follow FTEs assigned to these offices. Program-sponsored FTEs are to be funded by that program. General FTEs (i.e., not associated with a particular program)

assigned to a site by an Operations Office are to be funded by the Operations Office's previously indicated lead PSO. Programs are responsible for providing funding for the following costs associated with program:

- salaries
- benefits
- travel
- contractual services
- equipment

2 Contractual services should cover all costs that are in support of program FTEs. These support costs include, such items as physical security or training, that can easily be attributed to a particular FTE, are therefore to be appropriately funded by the associated program.

3 Any expansion of DOE Site Office costs that are directly attributable to a particular program shall be funded by that program. Examples of this would be relocation costs associated with moving program-dedicated FTEs or lease of additional space required for additional program FTEs.

d. Contractors:

(1) Landlord requirements associated with contractor plant sites (i.e., inside the plant fence) can be split into two categories. These are: 1) operating, and 2) capital requirements.

(a) Operating - Landlord operating costs are general costs that are allocated to benefitting programs. For instance, if a multi-program facility roof is repaired, the costs should be allocated to the various programs that use the facility. If, however, a single-program facility roof is repaired, that program should bear the cost.

(b) Capital - Capital expenditures cannot be split-funded. Therefore, the PSO that was previously designated as the landlord has site-wide responsibility to fund general capital requirements involving multi-program utilization. A capital requirement associated with a single-program facility, however, must be borne by the program.

12. **ALLOCABLE COSTS**.

a. Allocable Cost Review Process

(1) This guidance describes the process to be used by the Department of Energy (DOE) for review and oversight of accumulation and distribution practices and monitoring of contractor execution of Management and Operating (M&O) contractor and other contractor allocable costs. Allocable costs covered by this process include Overhead, Organizational Burden, Distributed Cost and Service Centers. Laboratory Directed Research and Development (LDRD) is currently excluded from substantive review. The following review process was originally developed by a joint DOE-Contractor working group to implement the aspects of DOE order 2200.13, "Oversight of Integrated Contractor Financial Management", related to allocable costs and DOE Order 130.1, "Budget Formulation Process".

(2) **Definitions**: The following are definitions related to allocable costs. The first five definitions represent the standard types of allocable costs which are subject to review. All costs allocated by an M&O contractor will fit into one of these five categories.

(a) **Overhead**. Those allocable costs incurred for the general management, administration and operation of the contractor, or other costs that benefit the entire enterprise which cannot be directly associated with any specific work efforts. These costs are collected in cost pools and allocated to all or most of the contractors programs based on a predetermined, DOE-approved methodology.

(b) **Organizational Burden**. Those allocable costs associated with managing direct organizations (i.e., organizations whose labor is charged to and whose primary purpose is to support final cost objectives). Examples include the cost of managers, clerical support, supplies, and contractual services. These costs are generally distributed based on actual direct labor charged by that organization to specific final cost objectives, or to other organizations within the contractor's operation.

(c) **Distributed Cost**. Homogenous costs accumulated and allocated on a basis that is representative of the resources used. Includes allocated costs that do not fit in any other category.

(d) **Service Centers**. Costs associated with providing a specific service or group of services where the costs are accumulated and then allocated based on a standard rate(s) representative of the services used.

Commonly referred to as a “recharge”, an assessment for the service is only made if a service is rendered (e.g. buy by the drink).

(e) **Laboratory Directed Research and Development (LDRD)**. Costs incurred in accordance with DOE order 5000.4A for the purpose of pursuing new and innovative scientific concepts of benefit to the Department of Energy. Costs are assessed to all or most of the program efforts of the contractor. LDRD is covered by a separate review process embodied in DOE Order 5000.4A and is excluded from substantive review at this time.

(f) **Allocable Cost (AC) Office**. Includes the Operations Offices and all other HQ and Field Offices that manage M&O contractors at which there are overhead and organizational burden costs, as defined in paragraphs (1) above.

(3) **Timeline**: DOE's Oversight and Review of Contractor Allocable Costs consists of several major elements to be completed on the following timeline:

(a) **Accumulation and Distribution Practices**. AC offices are to create, execute and annually update a five-year plan for the ongoing review of the contractor’s accumulation and distribution practices.

(b) **Monitoring of Contractor execution of allocable costs**. M&O Contractors are to submit an annual execution plan to the appropriate AC Office **no later than October 1**.

(4) **Elements of Review and Oversight**

(a) **Ongoing Review and Verification of Contractors Cost Accumulation and Distribution Practices**. The AC Office is to perform an ongoing review and verification of the contractor's cost accumulation and distribution practices, as well as significant changes to these policies or practices, in accordance with DOE Order 2200.13. The policies and practices, as approved by DOE, should be in the form of a Cost Accounting Standards (CAS) disclosure statement. DOE will approve all practices that materially impact the outcome of cost allocations including description and definition of cost pools, content of the pools and the basis for allocation. (Any changes that would impact the current cost accounting disclosure statement or its equivalent are considered to be significant.) The AC Office may use a risk-based approach in deciding which pools are to be reviewed and their sequence. In addition, the AC Office will develop a Five Year Plan for this ongoing review and update the plan on an annual basis.

1 The reviews conducted by the AC Office, at a minimum, will include the following:

a Examine the budgeted and actual composition of the pool(s) to determine that the costs charged to pools are appropriate. The examination will include a review of transactions.

b Verify that cost was accumulated and allocated in accordance with CAS disclosure statements or some other approved policy/practice.

c Validate the appropriateness of the allocation base.

d Evaluate the reasonableness of costs budgeted and incurred.

e Determine that the cost belongs in the pool/cost center/organization and would not be more appropriately charged direct or allocated via another pool/cost center/organization.

f Determine that circumstances still warrant the need for the pool, and that the cost should not be accumulated and allocated in some other manner.

g Review may include a consideration of allowability of cost.

2 The product of this review is an internal report prepared by the AC Office for use in resolving issues with the contractor. Any significant problems or issues arising from the reviews will be reported to the DOE CFO.

(b) **Monitoring of Contractor Execution of Allocable Costs**.

1 Using the contractor's normal reporting format, AC Offices are to monitor each contractor's allocated costs against the amounts budgeted. **This is to be done at least semi-annually.**

2 At the beginning of the fiscal year, the contractor shall provide a time-phased allocated cost plan as specified by the AC Office.

3 The contractor shall provide variance analyses based upon criteria determined by the AC Office. The AC Office will ensure that significant variances and budget issues which may arise are resolved to DOE's satisfaction.

4 Problems and issues will be reported by the AC Offices to the DOE HQ CFO.

b. **List of AC Offices**. **As a minimum**, the following offices are to review and oversee accumulation and distribution practices and monitor contractor execution of allocable costs according to the guidance provided:

Albuquerque Operations Office
Chicago Operations Office
Ohio Field Office
Golden Field Office
Idaho Operations Office
Nevada Operations Office
Oak Ridge Operations Office
Richland Operations Office
Rocky Flats Field Office
San Francisco Operations Office
Savannah River Operations Office
Naval Petroleum Reserves-CA
Naval Petroleum and Oil Shale Reserves-CO, UT, and WY

CHAPTER IV

CROSSCUTS

1. **INTRODUCTION** Crosscuts are vehicles used by Headquarters Organizations to consolidate the total amount being budgeted for a functional cost which is funded by numerous programs. Copies of these crosscuts shall be simultaneously submitted to Headquarters Organizations who have oversight responsibilities as indicated below in the following matrix:

CROSSCUTS	Completed by:		Point of Contact	Phone
	M&O	Ops/FO		
Environmental, Safety and Health	X	X	Ray Blowitski (EH-30.2)	301-903-9878
Safeguard and Security Budget Estimates	X	X	Alice King or Karen Stewart (NN-513)	301-903-8782 301-903-9934
Information Management	X	X	James King (HR-42)	202-586-8041

2. **ENVIRONMENT, SAFETY AND HEALTH: Supplementary Budget Submission Guidance**.

a. It is a fundamental Departmental policy that the work of the Department be carried out in a manner that protects the safety and health of the workers and the public and safeguards the environment. ES&H must be an integral part of the way the Department plans, budgets, and executes work. The Secretary of Energy, in testimony to Congress, recently said:

"Resource requirements need to be better defined in terms of the people and skills we need to support safety and health programs, and the budget resources that are required to adequately support necessary facility and program upgrades. We will not only identify, but begin to closely evaluate personnel qualifications, staffing, and resource allocation in this area."

Two of the Guiding Principles of Integrated Safety Management, as presented in the Department's response to the Defense Nuclear Facility Safety Board (DNFSB) Issue 95-2 are:

Balanced Priorities. Resources are effectively allocated to address safety, programmatic, and operational considerations.

Competence Commensurate with Responsibilities. Personnel possess the experience, knowledge, skills, and abilities that are necessary to discharge their responsibilities.

In order to assure that sufficient resources will be available to allow the work of the Department to be carried out in a safe and environmentally sound manner, ES&H must be an integrated but discernible component of the Department's budget. This assurance requires that certain information on the ES&H component of the Department's proposed budgets be available to DOE line managers in the field and at Headquarters. In addition, there are a variety of external requests for data pertaining to the ES&H component of the Department's budget.

b. General Guidelines.

(1) The ES&H Management Planning Process provides the structured management process and tools that will allow DOE to discern the ES&H aspects of all of its business lines. The ES&H Management Planning Process provides the vehicle by which ES&H priorities can be established and by which budgets for ES&H activities can be developed as an integral part of each activity funded by the Department of Energy. The resultant ES&H Budget Formulation Plans are the mechanism for communication of these management decisions to budget process stakeholders.

(2) The review of planned ES&H programs, the integration of ES&H planning into overall program planning, and the analysis of ES&H budget requests is a formal part of the Department's Corporate Budget Review Process. To support this review and budget analysis, summary information and conclusions from each site's ES&H Management Plan should be compiled into an ES&H Budget Formulation Plan and submitted as part of the formal Field Budget submission materials to their Operations/Field Office. This Plan consists of:

- Information on the scope, priorities, and resources for ES&H activities.

- A summary of risk management conclusions for the site.

- For ES&H Compliance Activities, a Management Signature attestation, including a check off of the management approval field in the ES&H ADS indicating management has reviewed and approved the scope and cost estimates of the activity, and a statement in the formal transmittal letter signed by the appropriate senior manager attesting to the accuracy of the cost and scope of the ES&H data. Such a statement might be: "the ES&H activities provided in the roll-up data have been reviewed by management. The compliance activities represent our best estimate of the scope and cost of activities needed to bring the facility into compliance with laws, regulations, executive orders, and DOE Order requirements addressing significant risks."

Following the Corporate Budget Review Process, the information will be updated to reflect budget decisions and be used to prepare required reports to external organizations, specifically the ES&H Crosscuts for the Department's OMB and Congressional Budget Submissions, the annual FEDPLAN Report required by Executive Order 12088 (formerly known as A-106) and Reports of Pollution Control Programs for OMB Circular A-11, and the annual update to the Waste Minimization and Pollution Prevention Crosscut Plan.

(3) Each operating organization should provide the following information, extracted from its ES&H Management Plan, in its ES&H Budget Formulation Plan.

(a) **Important Risk Management Conclusions**

- Identification of the most important ES&H risk management issues being addressed at the facility within the current budget targets (this should not be a compendium of ES&H issues, but should focus on the three or four most significant risk issues confronting the facility).

- Identification of any significant ES&H risks that are not or will not be adequately addressed at the requested budget level. Identify administrative or other compensatory measures planned to address these risks. Identify any future, increased costs that may result if these risks are not addressed during the budget year.

- Identification of the highest ranking unfunded activities (i.e., the most important candidates for funding should additional resources become available).

- Identification of any unfunded (or under funded) activities that address emerging ES&H issues, or important areas defined in the EH or CSO strategic guidance. The risks associated with not funding these activities should be clearly articulated.

- Identification of any unfunded (or under funded) activities that represent good investments in risk management and prevention, even though they do not address immediate, significant risks.

(b) **Budget Analysis Support Information**

- Identification of the major planning assumptions related to changes in facility programs and mission.

- Identification of the bases and major assumptions used in deriving ES&H funding targets.

- Identification of ES&H activities whose funding would be jeopardized if budgets are cut (e.g., the ADSs whose relative ranking places them just above the funding line).

- Description of the impact on ES&H programs of a decrement level reduction in total site budget. (Note: assume a 10% decrement if no specific departmental or responsible Cognizant Secretarial Office (CSO) decrement is established.) Identify the specific programs that would be impacted and the increases in risk that would be expected.

- For sites where major uncertainties in programmatic funding (i.e., the termination or initiation of a major project) exist, a description of the impact of that potential change on ES&H programs and funding should be provided.

The risk management conclusions, and budget analysis information should be prepared by each operating organization for their site, and provided along with a roll-up disk of their site ES&H Activity Data Sheet data (or other CSO specified reporting mechanism) to the Operations Office (or responsible DOE Organization).

(4) Each Operations Office (or responsible DOE organization) should review and approve the information provided by each operating organization. In particular, Operations Office financial managers should ensure consistency between the financial information supplied in the ES&H Budget Formulation Plan and the primary budget submission materials comprising the Field Budget Submission package.

(a) The Operations Office (or responsible DOE organization) should consolidate the ES&H Budget Formulation Plan risk management conclusions and budget analysis information from each site within its purview to produce an integrated Operations Office ES&H Budget Formulation Plan Summary. This consolidated summary report should be provided to the Office of the Chief Financial Officer (CR), the Assistant Secretary for Policy (PO), and the Assistant Secretary for Environment, Safety, and Health (EH). Each responsible Cognizant Secretarial Officer (CSO) should be provided with copies of the risk management and budget analysis information appropriate for their sites as well as the complete set of ES&H Management Plan data for which they have funding or oversight responsibility (as landlord). Roll-up and reporting of information to the Cognizant Secretarial Office is delineated in the following subsections.

(b) The Operations Office (or responsible DOE organization) should provide the landlord Secretarial Office for each site a complete set of ES&H activity data (as defined in the Department's ES&H Budget Formulation Plan Guidance for Fiscal Year 1999) for:

1 all activities that are direct funded by the landlord CSO;

2 all of the activities funded out of allocable cost pools that allocate costs to multiple CSOs;

3 all of the activities funded out of allocable cost pools that allocate all costs to the landlord CSO;

4 the resource allocation tables for all allocable cost pools; and

5 the risk management conclusions and budget analysis information described previously.

(c) The Operations Office (or responsible DOE organization) should provide Other Cognizant Secretarial Officers that fund ES&H activities at a facility, but are not the facility landlords, with the data for all of their direct funded ES&H activities. Also, if there are any allocable cost pools used at a facility that allocate all costs to only one CSO, then the ADS data for the activities funded from these single CSO cost pools and the resource allocation schedule should be reported to that CSO. For example, assume that the Facility X (DP Landlord) ES&H Management Plan contains the following types of ES&H ADSs:

1 ADSs that are direct-funded by the Assistant Secretary for Defense Programs (DP),

2 ADSs that are funded out of allocable cost pools from which costs are allocated to multiple SOs,

3 an ADS that is direct funded by the Office of Energy Research (ER), and

4 ADSs that are funded out of an allocable cost pool from which costs are allocated only to Resource Structure Codes that are the responsibility of ER.

The Operations Office would send DP, the landlord, the ADS data for the activities in categories (1) and (2) above, the resource allocation schedules for all allocable cost pools except the pool described in item (4), and the summary risk management conclusions and budget analysis information. The Operations Office would also send ER the ADS from categories (3) and (4) above, and the resource allocation schedule for the allocable cost pool covering the activities in category (4).

(d) For sites using the ES&H Management Plan Information System software, this information is already captured in the database, and should be provided to the appropriate Secretarial Office on a roll-up diskette(s). Preparation of roll-up diskette(s) is described in the ES&H Management Plan Information System Users' Manual.

c. Summary Information Requirements and Schedule. This section describes the specific ES&H budget information expectations for Fiscal Year 1999 and suggested steps in the preparation and roll-up of the information. Figure IV-2.1 provides a summary of the basic ES&H budget information expectations for Fiscal Year 1999.

(1) **Plan Preparation Steps**. Figure IV-2.2 lists the major steps suggested for the preparation of operating organization ES&H Management Plans and resulting ES&H Budget Formulation Plan submission. In practice, the preparation of a quality Plan typically involves iterations within and among these major steps, as well as periodic reviews to assure accuracy, completeness, and internal consistency. The second column of Figure IV-2.2 identifies the responsibilities for performing each step.

After completion and management approval, operating organizations submit their ES&H Budget Formulation Plans to the appropriate DOE Operations Office (or responsible DOE organization). The Operations Office (or responsible DOE organization) is responsible for reviewing the planning information provided for each of its sites and facilities, and providing approved ES&H Plans to the responsible Headquarters Cognizant Secretarial Offices (CSO). In parallel with this process, section IV.2.b.(3) above requires that specific information from the management plans be submitted as part of the package of Supplementary Budget Materials. Figure IV-2.3 identifies the major steps in this roll-up and review process; specific roles and responsibilities of ES&H, line-program, and financial managers for performing each step.

Specific directions on the information system requirements for the ES&H data submission are as follows:

(a) The ES&H Management Plan Information System should be used to report target level ES&H budgets, i.e. all safety and health activities and environmental activities, whether funded by direct or indirect funds to all Cognizant Secretarial Officers. Activity Data Sheets prepared using the ES&H Management Information System and submitted to the Cognizant Secretarial Officers (CSOs) by the Field through the Operations/Field Offices should be prepared and prioritized in accordance with guidance provided in the ES&H Budget Formulation Plan Guidance for FY 1999 as amended by any CSO specific budget guidance.

(b) Where other reporting mechanisms have been specified by the funding CSO's budget guidance submit the environment, safety and health funding activity data electronically directly from a CSO database that is compatible with DOE's ES&H Management Plan Information System. (Compatibility must be verified with EH.) To ensure departmental reporting needs can be met, the CSO database must provide data for each of the "required" data fields in the ES&H Management Plan Information System(see Appendix A). In addition, each CSO allowing the use of an alternate reporting mechanism must ensure each site submits the Budget Summary and Risk Management conclusions package specified in section IV.2.b.(3) of this guidance. Once received

electronically, EH will transfer this information into ES&H Activity Data Sheets in the ES&H Management Information System. Any ES&H Activity Data submitted by another reporting mechanism should be prepared and prioritized consistent with the guidance provided in the ES&H Budget Formulation Plan Guidance for FY 1999.

(2) **Schedule**. The ES&H Budget Formulation Plan derived from each ES&H Management Plan plays an important role in the Department's budget decision-making process. Therefore the production schedule for the Plan supports various milestones in the budget process. Figure IV-2.4 lists the major milestones associated with the production of the ES&H Management Plans. In addition to the milestones in this table, individual CSOs or Operations Offices may establish specific, interim milestones to facilitate their consolidation and review of the planning information.

(3) Complete guidance and instructions for preparation of the ES&H Management Plan is provided in the Department's ES&H Budget Formulation Guidance for FY 1999. The key features of this Manual have been included with this guidance in the following attachments.

- Attachment A - Activity Data Sheet Form Instructions (Appendix A of the Guidance).

- Attachment B - Functional Area Descriptions (Appendix B of the Guidance)

To obtain copies of the complete ES&H Budget Formulation Plan Guidance for FY 1999 or for additional information, contact Raymond Blowitski (EH-73) at 301-903-9878.

Basic ES&H Budget Information Expectations

Scope Description	A summary description of ES&H support activities planned at the facility for FY-1997 through FY-1999 assuming target level funding. These activities should be subdivided into Core, Compliance, and Improvement activities. Information necessary to support external Environmental reporting requirements should be provided. **(Note: Compliance activities are considered to be departmental ES&H liabilities under the Government Management Reform Act. As such, a signed copy of each Compliance activity should be retained at each site which may be auditable by the Inspector General.)**
	A summary description of unfunded Compliance activities.
Budget Information	The total direct and the total indirect cost of these activities for FY-1997 through FY-1999, broken down into the ES&H functional areas. (Note: the ES&H software is also designed to collect outyear funding. Though not required (except for Compliance activities) it is recommended ES&H planning be extended into the outyears. Outyear funding projections may also be required by CSO Budget Guidance.)
	The total cost-to-complete (beyond FY 1999) for Compliance activities.
	The appropriate B&R codes and category of funding (operating, capital, GPP, or line item) for direct-funded activities.
	The appropriate facility indirect resource pool for indirect-funded activities, and the resource allocation schedule for each pool that funds ES&H activities.
Skill Mix Information	Facility-wide summary of FTE requirements for FY-1997 through FY-1999, broken down into ES&H functional areas.
Risk Management Information	Facility-wide summary of the major ES&H risks and the activities being planned to manage these risks.
	Facility-wide summary of any major significant risks that cannot be adequately addressed within proposed budgets.
	Relative risk priority information for funded and unfunded Compliance activities.
	Synopsis of additional facility risk management and ES&H budget analysis information

Figure IV-2.1

Major Steps in the Preparation of Operation Organization
ES&H Management Plans

Planning Process Step	**Primary Responsibility**
1. Perform ES&H Needs Assessment to identify programmatic requirements, current deficiencies, and emerging issues.	▸ Program line managers define ES&H support needs and provide information to ES&H managers. ▸ ES&H managers define site-wide ES&H needs.
2. Prepare ES&H Activity Data Sheets (ADSs) to describe and characterize all ES&H activities and programs.	▸ Line and ES&H managers responsible for managing and performing the work provide information on the ES&H activities and programs. ▸ Financial management personnel support preparation and update of the ADS cost information. ▸ ES&H Management Plan Information System Administrator (i.e., the individual responsible for management and configuration control of the software) manages data entry.
3. Evaluate risk-reduction of ADSs and establish relative ranking of ADSs..	Committee of mangers representing broad spectrum of expertise in ES&H disciplines, and having extensive knowledge of a facility's operations, potential risks, and operating history, evaluate ADSs. ▸ ES&H Management Plan Information System Administrator assures accurate entry of scoring information. ▸ Senior operating organization management establishes relative priorities.

Figure IV-2.2
Major Steps
Page 1 of 2

Major Steps in the Preparation of Operation Organization
ES&H Management Plans

Planning Process Step	Primary Responsibility
4. Make risk management decisions by allocating available resources to ADSs (i.e., determine which activities can be funded and which must be deferred during each year).	▸ Financial managers define ES&H budget targets, and ensure final Plan financial data is consistent with Field Budget Submission and with internal budgets established for allocable cost pools. ▸ ES&H managers working with financial management personnel determine which ADSs will be funded and the funding level. ▸ Senior management approves funding level decisions. ▸ ES&H Management Plan Information System Administrator assures accurate entry of ADS cost and funding status information.
5. Submit ES&H Budget Formulation Plan information package to the Operations/Field Office that contains summary of ES&H risk management conclusions, budget analysis information, and ES&H Management Plan Information System roll-up diskette.	▸ Financial managers document budget assumptions and budget impact analysis information and prepare the final, approved budget analysis summary for submittal. ▸ ES&H managers document planning assumptions and key risk management conclusions. ▸ Senior management approves risk management conclusions and budget analysis summary (narrative). ▸ ES&H Management Plan Information System Administrator enters the narrative in the database and prepares required reports. ▸ ES&H Management Plan Information System Administrator prepares roll-up diskette.

Figure IV-2.2
Major Steps
Page 2 of 2

ES&H Management Plan Review and Roll-up

Planning Process Step	Primary Responsibility
1. Operations/Field Office (and any associated site or area offices) prepares ADSs describing their ES&H activities.	▸ ES&H managers provide information on ES&H activities. ▸ Financial managers support preparation of ADS cost information. ▸ ES&H Management Plan Information System Administrator manages the data entry.
2. Operations/Field Office reviews operating organization budget formulation information.	▸ ES&H and program managers review budget formulation information for quality, completeness, and appropriateness of priorities. They also review and approve risk management conclusions. ▸ Financial managers review financial data for consistency with budget submission and approve budget impact analysis portion of narrative summary. ▸ ES&H Management Plan Information System Administrator manages entry of revised data.
3. Operations Office prepares Supplementary Budget Material from Plan for field budget submission.	▸ Financial management prepares and submits ES&H Supplementary Budget Material required by the Field Budget Call.
4. Operations/Field Office prepares ES&H budget formulation information packages for Cognizant Secretarial Offices.	▸ ES&H Management Plan Information System Administrator prepares roll-up diskettes for Cognizant Secretarial Offices. ▸ ES&H Plan Coordinator forwards roll-up diskettes and approved narrative summaries to responsible Cognizant Secretarial Offices.

Figure IV-2.3
Review and Roll-up
Page 1 of 2

Planning Process Step	Primary Responsibility
5. Cognizant Secretarial Office prepares ADSs describing their ES&H activities.	▸ Managers responsible for Cognizant Secretarial Office ES&H activities provide information on ES&H programs. ▸ Financial managers support preparation of ADS cost information. ▸ ES&H Management Plan Information System Administrator manages the data entry.
6. Cognizant Secretarial Office reviews Field ES&H budget formulation data.	▸ Program managers review ES&H budget formulation information for quality, completeness, appropriateness of priorities, and risk management conclusions. ▸ Program or landlord managers review scope and cost of ES&H activities for cost-effectiveness. ▸ Program and financial managers make final funding decisions on direct funded activities and provide feedback to Operations/Field Offices. ▸ Financial managers review financial data for consistency with budget submission and review budget impact analysis.
7. Cognizant Secretarial Office revises ES&H budget data to reflect program manager decisions, prepares summary narrative report, and submits diskettes to EH.	▸ Program and financial managers determine any changes to ADS funding status and cost data, document resolution of budget process issues in narrative summary, and provide feedback to Operations/Field Offices. ▸ ES&H Management Plan Information System Administrator manages the data entry and prepares a roll-up diskette for EH.

Figure IV-2.3
Review and Roll-up
Page 2 of 2

ES&H Management Plan Production Schedule

Date	Action
December 1996	EH Issues *ES&H Budget Formulation Plan Guidance Document* for the FY-1999 Budget Cycle
January 1997	CSO and Operations/Field Office Issue Supplemental Guidance on ES&H Planning
January 1997	Chief Financial Officer Issues Unified Field Budget Call
March/April 1997	Operating Organizations Submit ES&H Budget Formulation Plans to Operations/Field Offices
April 1997	Operations/Field Offices Submit ES&H Budget Formulation Plans to CSOs and Budget Summary and Risk Management Conclusions to CR, PO, and EH
June 1997	CSOs and EH Ensure Proposed Program Budgets Adequately Address Significant ES&H Risks.
August 1997	CSOs Revise ES&H Budget Formulation Data to Reflect Budget Decisions and Submit Roll-up Disks to EH
October 1997	Operating Organizations Update Facility Work Plans for the Current Budget Execution Year, Negotiate ES&H Performance Measures with Contracting Officer, and Submit ES&H Management Plan* to Contracting Officer.
October 1997	Operations/Field Office Reviews and Approves ES&H Management Plan*, and Incorporates ES&H Performance Measures into Contractor Incentive/Reward Systems.

* Alternatively, as with some Energy Research facilities, the financial plans may be used to require key commitments.

Figure IV-2.4
Production Schedule

Appendix A

ADS Form and Instructions

FY 1999 ES&H MANAGEMENT PLAN

ACTIVITY DATA SHEET

For Data Reference Use Only

a. Facility Code b. ADS Number

Activity Data Sheet (ADS) Identification Section

1. Facility Code: _____ 2. Facility Name: _____

3. ADS Title: _____

4. Data Sheet Status Code: (Select 1 only) ( ) Open ( ) Closed ( ) Hold ( ) Discontinued ( ) Void

5. Budget Identifier _____
6. Original Identifier _____
7. Work Package No. _____
8. Account No. _____
9. WBS Code _____
10. Reference ADS # _____
11. Resp. SO Code _____
12. Contractor Code _____
13. Contractor Division _____
14. Contr. Department _____
15. Contractor Manager _____
16. Contractor Phone _____
17. DOE Manager _____
18. DOE Phone _____

ADS Functional Areas

19. Is ES&H activity a FEDPLAN (formerly known as A-106) Activity? [ ] Yes [ ] No

20. Functional Area Breakdown (Attach additional pages if necessary)

Functional area	Sub-Area	% Total Cost

Percentage of costs attributable to: 21. Training: _____ 22. Maintenance _____

ADS Type Section

23. ADS Type: (Select 1 only) ( ) Core ( ) Compliance ( ) Improvement

24. Drivers (Attach additional pages as necessary)

Driver Type	Driver Code	Primary? (Just one)	Driver Title

25. Compliance Comments (Attach additional pages as necessary)

For Data Reference Use Only

a. Facility Code b. ADS Number

26. ADS Description (Attach additional pages as necessary)

Provide a description of the activity. Include sufficient detail to allow a reader not previously knowledgeable of the activity to understand the activity's scope and what it is intended to accomplish.

27. ADS Milestones & Accomplishments (Attach additional pages as necessary)

Describe the expected outcome from implementation of this activity. Identify all significant milestone events and dates, and other expected accomplishments. Identify existing major or key commitments regarding this activity.

28. ADS Appraisal (Attach additional pages as necessary)

Describe the risks/impact of not implementing or not continuing this activity and the benefits of continuing or implementing this activity. Discuss risks/benefits for Public Safety & Health, Site Personnel Safety & Health, Compliance, Mission Impact, Cost-effective Risk Management, and Environmental Impact. Describe any other significant impacts or considerations.

For Data Reference Use Only

a. Facility Code b. ADS Number

ADS Scoring Section

29. RPM Scoring

	BEFORE			AFTER		
	Consequence[1]	Multiplier[2]	Likelihood[3]	Consequence[1]	Multiplier[2]	Likelihood[3]
Public S&H						
Site Pers. S&H						
Compliance						
Mission Impact						
Cost Eff. Risk Mgmnt						
Environ. Impact						

1 - Enter the row number from the Risk-based Priority Model (RPM)
2 - Minimum multiplier value is 0.1
3 - Enter "A" through "D" or a direct probability value between 0.001 and 0.9999

30. Scoring Adjustments:
Contractor _____ Ops Office _____ SO _____

31. Other (Non-RPM) Numeric Score: _____

32. Project Priority: _____
Allowable range, low to high, is 1.0 to 9.9.

33. Activity Scored by: _____

34. Date Scored: _____

35. Scoring Comments (Attach additional pages as necessary)
Document the justification for all scores and scoring adjustments. Consider the risks/impacts for Public Safety & Health, Site Personnel Safety & Health, Compliance, Mission Impact, Cost-effective Risk Management, and Environmental Impact. Describe any other significant impacts or considerations.

For Data Reference Use Only

a. Facility Code b. ADS Number

ADS Resource Data

36. Budget Year Funding Case: ( ) Target or ( ) Unfunded

37. Resource Structure Code (RSC): _____

or **(Note: If the ADS is funded from an allocable cost pool, a valid**

Allocable Cost Pool Identifier (Pool ID): _____ < = = = **cost pool must be identified.)**

38. B&R Code (For ADSs direct-funded by a single RSC): _____

39. WFO / Cost Reimbursable Funding Source: _____

40. Start Year: _____ 41. End Year: _____

42. Activity Cost Estimate (x $1,000) 43. FTE Requirements

	Estimated Implementation Costs in $1,000					**FTEs** (to two decimals)	
Fiscal Year	Operating Expense (OE)	Capital Equipment (CE)	General Plant Project (GPP)	Line Item Project (LIP)		Federal	Contractor
Prior Year (PY) 1997							
Current Year (CY) 1998							
Budget Year (BY) 1999							
BY + 1 2000							
BY + 2 2001							
BY + 3 2002							
BY + 4 2003							
BY + 5* 2004							

* For Compliance activities with costs beyond BY + 5, enter total estimated cost to complete in the BY + 5 row.

44. [n/a; Field Deleted].

45. Cost Estimate Notes (Attach additional pages as necessary.)

Review/Approval NOTE: All sites should be aware of requirements from the Department of Energy Unified Field Budget Call for FY 1999, some of which are noted in the ADS Instructions.

FY 1999 ES&H MANAGEMENT PLAN

ALLOCABLE COST POOL INFORMATION DATA SHEET

For Data Reference Use Only

a. Facility Code b. Cost Pool ID

46. Management Approval? [ ] Yes [ ] No 47. Activity in Process? [ ] Yes [ ] No

A1. Reviewed by*: _____ Date: _____

A2. Approved by*: _____ Date: _____

*Not captured in the DOE ES&H Management Plan Information System.

1. Allocable Cost Pool Name: _____

2. Allocable Cost Pool Identifier (Pool ID): _____

3. Allocable Cost Category: (Select only one)

( ) Overhead
( ) Organizational Burden
( ) Distributed Cost
( ) Service Center
( ) Lab Directed Research & Development (LDRD)
( ) Other _____

4. Allocable Cost Pool Type: (Select only one)

( ) Direct-funded
( ) Indirect-funded

5. Resource Allocation Table (Attach additional pages as necessary)

Resource Structure Code (RSC)	Budget & Reporting (B&R) Code	Percent of Total Allocable Cost Pool [1]

1 - Sum of all percents must equal 100.

General

These instructions are to be used and referred to in support of completing an activity data sheet (ADS) form for each DOE Environment, Safety and Health (ES&H) Management Plan activity. Most of the data elements on the ADS form are required to be completed. However, some data elements are described as optional in these instructions and are not required, except on specific guidance from the responsible Secretarial Office.

ADS Data Requirements

a. **Facility Code** - *This area is for data entry personnel use only*. After the Activity Data Sheet (ADS) has been entered into the ES&H Management Plan Information System (ESH/Plan), the validated facility code can be noted in this area of the ADS form by the data entry personnel for future hard-copy reference. The valid facility codes can be found in the Lookup Tables in the ES&H Management Plan Information System.

b. **ADS Number** - *This area is for data entry personnel use only*. After an ADS has been entered into the ES&H Management Plan Information System, it will have been given a System-assigned identification number. That number can be noted here by the data entry personnel for future hard-copy reference. When combined with the Facility Code, this number provides a DOE-wide unique identifier for the ADS.

c. **Date** - Enter the date the ADS is originated. This data is for hard copy reference only and is not captured in the ES&H Management Plan Information System.

1. **Facility Code** - Enter the facility code from the DOE Facility Codes List for the facility responsible for the ADS. The valid facility codes can be found in the Lookup Tables in the ES&H Management Plan Information System. Note that the DOE Facility Codes List includes some codes that do not necessarily represent single, specific "facilities"; rather, those codes may represent and be used for all facilities in an area (e.g., DOE Washington Headquarters).

2. **Facility Name** - Enter the name of the facility responsible for the ADS.

3. **ADS Title** - Provide a short, descriptive title for the ADS (50 characters maximum). This will appear in most ESH/Plan output reports; therefore, it should be carefully constructed to give a concise but descriptive indication of the nature of the ADS.

4. **Data Sheet Status Code** - Indicate the Data Sheet Status Code if you are changing the ADS status. When changing the status code of an ADS, provide comments concerning the reason for the change (e.g., activity was eliminated due to changing mission) for entry in the Status Remarks field in the ES&H Management Plan Information System. The Data Sheet Status Codes are:

- **Open** - This status code indicates that the ADS is to be included for consideration in the ES&H planning and budgeting process. By default, only "Open" ADSs are included in the data roll-up process.

- **Closed**- This status code indicates that the activity described by an ADS has been completed. By default, ADSs having a "Closed" status will not be included in the roll-up process.

- **Hold** - This status code indicates that the ADS has been administratively placed on hold by Management. By default, ADSs having a "Hold" status will not be included in the roll-up process.

- **Discontinued** - This status code indicates that the activity described by an ADS has been discontinued but was not completed for one reason or another. For example, the activity may have been subsumed by a separate ADS, determined not to be economically feasible to continue, or developed to address criteria or requirements that have since changed or have been eliminated.

  A discontinued ADS may have been subsumed (combined or replaced) within another ADS or may have been broken out into several smaller ADSs that are more focused in scope. In these cases, data should be entered in the Reference ADS field of the smaller of the related ADSs, as described below. By default, ADSs having a "Discontinued" status will not be included in the roll-up process.

- **Void** - This status code indicates that the ADS record has been voided. Changing the status to "Void" is usually recommended over deleting the ADS record from ESH/Plan, in case later decisions are made to re-open the record. By default, ADSs having a "Void" status will not be included in the roll-up process.

5. Budget Identifier - For all direct-funded ADSs enter the identification number of the formal budget document (e.g., project data sheet or field work proposal) submitted with the Field Budget Submission package that includes funding for this activity. This number should be provided for all direct funded ADSs identified as "Target" in the Budget Year Funding Case field.

For ADSs funded by allocable cost mechanisms, this field may be used to identify the operating organization's internal budget document reference, although this is not required.

6. Original Identifier - *This is an optional field*. Enter the original ADS identifier, if applicable. Prior to entry into the ES&H Management Plan Information System, an original identifier may have been assigned to distinguish and track the ADS within a department or division.

7. **Work Package No.** - *This is an optional field*. If applicable, enter the identification number of the work authorization directive, work package, or other budget execution document that contains the work described in the ADS.

8. **Account No.** - *This is an optional field*. If applicable, enter the local (or internal) account number used to capture and identify costs associated with the ADS.

9. **WBS Code** - *This is an optional field*. If applicable, enter the internal work breakdown structure (WBS) identification number/code associated with the ADS.

10. **Reference ADS** - *This is an optional field*. If applicable, enter the ES&H Management Plan Information System ADS number for any other ADS that the current ADS is determined to be explicitly related to. For example, a Reference ADS may have been subsumed within another ADS, or may have been broken out to several smaller ADSs that are more focused in scope. When three (or more) ADSs are related, select one as the "master" ADS. Enter "REF" in the Reference ADS field of the master ADS; enter the ADS number of the master ADS in the Reference ADS field of the two other ADSs.

11. **Responsible SO Code** - For direct funded ADSs, enter the two-character code indicating the Secretarial Office (SO) responsible for funding the ADS. For indirect-funded and outside-funded activities, indicate the Landlord SO. The valid Secretarial Offices and SO codes can be found in the Lookup Tables in the ES&H Management Plan Information System.

12. **Contractor Code** - Enter the facility operator/contractor code. This is generally the management and operations (M&O) contractor or integrating contractor for the facility. For Federally operated facilities (e.g., Operations Offices), select "[N/A]" which is located at the bottom of the list. The valid DOE Facility Operator codes can be found in the Lookup Tables in the ES&H Management Plan Information System.

13. **Contractor Division** - *This is an optional field*. Identify the contractor organization division responsible for the ADS.

14. **Contractor Department** - *This is an optional field*. Identify the contractor organization department responsible for the ADS.

15. **Contractor Manager** - *This is an optional field*. Identify the contractor manager who is responsible for the validity of the data on the activity. Enter the manager's last name, followed by his/her first and middle initials (LASTNAME FM).

16. **Contractor Phone** - *This is an optional field*. Enter the ten-digit telephone number for the Contractor Manager.

17. **DOE Manager** - *This is required for FEDPLAN (formerly A-106) ADSs, as noted in Field 19; it is optional for others*. Enter the last name, followed by his/her first and middle

initials (LASTNAME FM) of the DOE manager (e.g., site/area/operations office manager), *not a contractor employee*, who is knowledgeable of and responsible for the validity of the ADS data.

18. DOE Phone - *This is required for FEDPLAN (formerly A-106) ADSs, as noted in Field 19; it is optional for others*. Enter the ten-digit telephone number for the DOE Manager.

19. FEDPLAN (formerly A-106 Plan) Activity - Indicate by checking the "Yes" or "No" check box whether the ADS documents a FEDPLAN activity. The annual FEDPLAN Report is required by Executive Order 12088 (formerly known as A-106); reporting requirements are defined by the Office of Management and Budget (OMB). Generally, Core and Compliance environmental activities are likely to be FEDPLAN items. Refer to the DOE ES&H Management Plan Guidance Manual for FY 1998 for the definition of activities that should be characterized as A-106 (now FEDPLAN). The FY 1998 Guidance Manual can be found on the ES&H Management Plan World Wide Web site. The URL for the Web site is http://homer.hsr.ornl.gov/bps/eshplan.

20. ES&H Functional Breakdown - Enter the two-character code(s) indicating the functional area(s) to which costs are allocated for the activity. *The primary functional area code is required for all ES&H ADSs.*

The identification of multiple functional areas or functional sub-areas is usually optional. However, *the functional sub-area breakdown must be provided for all environmental activities in the Pollution Prevention (PP) and Environmental Restoration (ER) functional area.* If multiple functional areas and/or sub-area breakdowns are identified, you must indicate the percent (to the nearest 1 percent) of the total ADS cost allocated to each. Total cost allocations must sum to 100 percent. Percentage allocations for functional sub-areas will sum to the total percentage of cost allocated the specific parent functional area.
The valid functional area and sub-area codes can be found in the Lookup Tables in the ES&H Management Plan Information System.

21. Percentage of ADS Costs Attributable to Training - *This is an optional field*. Estimate the percentage of the activity's costs attributed to or targeted toward training.

22. Percentage of ADS Costs Attributable to Maintenance - *This is an optional field*. Estimate the percentage of the activity's costs attributed to or targeted toward maintenance.

23. ADS Type - Select the appropriate ADS type. *Select only one*. Valid ADS types are:

- **Core** - currently performed ES&H activities that are considered necessary by facility management to maintain current levels of ES&H compliance or to

prevent increases in the current levels of ES&H risks. Activities included in Core ADSs have the characteristic that if they were not performed, either (1) the level of compliance of the facility would be lower than the current level or (2) the level of risk posed by facility operation would be greater than the current level.

- **Compliance** - additional corrective actions, activities, or programs over and above the current Core ES&H programs, that are required to improve the facility's state of compliance and move the facility toward full compliance or conformance with all applicable ES&H laws, regulations, agreements, and DOE Orders. After compliance is achieved, any continuing activities and resources required to maintain compliance should be included in Core ADSs.

- **Improvement**- those new or ongoing activities, beyond Core and Compliance activities, that will raise the level of ES&H performance, lower the level of ES&H risks at a site or facility, and help the facility move toward excellence in ES&H performance. Improvement activities do not affect the facility's level of ES&H compliance.

24. Driver(s) - *This is especially required for all Compliance activities*. Enter the driver type and code that requires or is associated with the activity. The current list of valid driver codes can be found in the Lookup Tables in the DOE ES&H Management Plan Information System. More than one driver may be entered; if so, you should ensure that the primary driver is entered in the appropriate box. For all FEDPLAN (formerly A-106) ADSs, as noted in Field 19; the primary driver type and code should reference the Federal law requiring the activity. State laws or DOE Orders implementing the Federal law can be referenced as secondary drivers. Use additional pages if more than two drivers are applicable.

25. Compliance Comments - *This is an optional field*. Provide comments associated with the compliance condition related to the activity.

26. ADS Description Section - Provide a complete description of the activity or activities being documented on the ADS and the underlying causes or issues driving the activity.

27. ADS Milestones & Accomplishments Section - Describe the expected outcome resulting from implementation of this activity. Identify all significant milestones and other accomplishments. This field can be used to identify any existing major or key commitments that have been made regarding the activities in the ADS. Refer to Section II.A.2 of the DOE ES&H Management Plan Guidance Manual for FY 1998 for additional discussion of this item. The FY 1998 Guidance Manual can be found on the ES&H Management Plan World Wide Web site. The URL for the Web site is http://homer.hsr.ornl.gov/bps/eshplan.

28. ADS Appraisal Section - Provide a complete appraisal of the risks of not implementing or continuing the activity and the benefits associated with implementing it. This information is especially needed to (a) provide a better understanding of the ADS and what it is intended to accomplish, (b) help determine if the ADS is the best alternative solution to the problem being addressed, (c) support the development of risk scores for the ADS for relative ranking among other ADSs, and (d) help reviewers understand the bases used in developing risk scores. To help in scoring the ADS, the appraisal should address all of the applicable categories noted on the ADS form.

29. ADS Scoring - This field is to be used when the DOE ES&H Risk-based Priority Model (RPM) is used to score the ADS to support activity prioritization and management decision-making.

In the "Before" columns, enter the *before* consequence (i.e., impact row number) selected from the RPM for each impact category. If necessary, you may specify a multiplier to be applied to the standard weighted value of the consequence. The default multiplier is 1.0; the minimum multiplier is 0.1. Next, identify the column letter, “A,” “B,” “C,” or “D,” as selected from the RPM, that is associated with the likelihood of experiencing each *before* consequence. If necessary, a specific probability value between 0.0001 and 0.9999 may be provided in place of the RPM column letter .

In the "After" columns, enter the *after* consequence (i.e., impact row number) selected from the RPM for each impact category. As with the *before* scores, and if necessary, you may specify a multiplier to be applied to the standard weighted value of the consequence. The default multiplier is 1.0; the minimum multiplier is 0.1. Next, identify the column letter, “A,” “B,” “C,” or “D,” as selected from the RPM, that is associated with the likelihood of experiencing each *after* consequence. If necessary, a specific probability value between 0.0001 and 0.9999 may be provided in place of the RPM column letter .

Note that *at most,* one before score (consequence and likelihood combination) and one after score should be entered for each applicable impact category. Refer to the DOE ES&H Management Plan Guidance Manual for FY 1998, Section II.A.3, for a discussion on use of the RPM. The FY 1998 Guidance Manual can be found on the ES&H Management Plan World Wide Web site. The URL for the Web site is http://homer.hsr.ornl.gov/bps/eshplan.

30. Scoring Adjustments - Identify any scoring adjustments applied to the ADS by either the Contractor, the DOE Operations/Site Office, or DOE SO. Scoring adjustments do not reflect a change in the net risk or benefit scores resulting from application of the DOE ES&H RPM. Rather, they reflect "management's prerogative" to move the ADS up or down in a list prioritized by total score. The scoring adjustments can be additions to or subtractions from the net risk/benefit score.

31. Other (Non-RPM) Numeric Score - This field can be used where numeric priority scores that were not produced by application of the DOE ES&H Risk-based Priority Model have been assigned to the ADS.

32. Project Priority - *This is an optional field*. The allowable range of values, low to high, is 1 to 9.9. This field may be used to record a separate determination of priority or importance of an activity beyond that determined from application of the ES&H Risk-based Priority Model.

33. Scored By - Indicate who scored the ADS (e.g., Facility ES&H Evaluation Group). This information can be used by the data entry personnel to ensure that the risk scoring information to be entered into the ES&H Management Plan Information System is valid.

34. Date Scored - Enter the date that the ADS was scored by the evaluation group.

35. ADS Scoring Comments - Provide scoring comments to identify the rationale, reasons, and/or justifications for the scores and scoring adjustments applied to the ADS. This information is especially needed so that reviewers can understand the scoring bases.

36. Budget Year Funding Case - The Budget Year Funding Case field must be designated as either Target or Unfunded based on the results of the operator's resource allocation process. Note that the Budget Year Funding Case applies to all three budget years (prior year, current year, planning year) of the ADS in the ES&H planning process. Thus, for example, if funding is expected for an ADS in FY 1997 and 1998 but the activity is expected to be Unfunded in FY 1999, a separate ADS should be developed to cover the unfunded FY 1999 work scope.

- **Target** - ADSs that are expected to be funded during the planning period (FY-1997 through FY-1999) should be identified as Target. For direct funded activities, those ADSs designated as Target should be consistent with the operator's formal budget submission. For activities funded by allocable cost mechanisms, those ADSs designated as Target should represent the operating organization's determination of what will be funded based on their internal resource allocation and decision-making processes. Document funding assumptions and other information utilized to derive all funding targets used to allocate ES&H resources in the Cost Estimate Notes field on the ADS form.

- **Unfunded** - This case is used for ADSs that would not be funded, given the facility's current budget expectations. This is a critical designation; it allows each stakeholder in the decision process to understand which activities will not be funded under the proposed budget scenario. Document funding assumptions and other information utilized to derive all funding targets used to allocate ES&H resources in the Cost Estimate Notes field on the ADS form.

Operating organizations should refer to Section II.A.2 of the DOE ES&H Management Plan Guidance Manual for FY 1998 for a complete discussion of resource allocation for the ES&H Management Plan. The FY 1998 Guidance Manual can be found on the ES&H Management Plan World Wide Web site. The URL for the Web site is http://homer.hsr.ornl.gov/bps/eshplan.

37. Resource Structure Code - Identify the correct resource structure code for each ADS to be direct-funded. For ADSs to be funded from allocable cost pools, see the Allocable Cost Pool Identifier (Pool ID) data element described below.

Resource structure codes should be selected from the DOE Resource Structure Codes List developed by the DOE Controller's Office (CR). The current list of valid codes can be found in the Lookup Tables in the ES&H Management Plan Information System. ESH/Plan will automatically map and fill in an appropriate budget and reporting (B&R) code when a valid resource structure code is entered into the System. This B&R code may be replaced or supplemented by the ES&H Planner or Facility Management.

—— or ——

Allocable Cost Pool Identifier (Pool ID) - For each ADS to be funded from an allocable cost pool, identify the Pool ID for the allocable cost pool from which the ADS will be funded. The Pool ID is a site-defined code (up to eight characters) that identifies the specific allocable cost pool being used to fund the activity. For example, "Overhead" may be the Pool ID selected to identify the site-wide overhead pool. Page 10 of these instructions describes the use of the Allocable Cost Pool Information Data Sheet. The Allocable Cost Pool Information Data Sheet form is similar to the Activity Data Sheet and is used to help develop the information necessary to identify an allocable cost pool.

Refer to Section II.A.2 of the DOE ES&H Management Plan Guidance Manual for FY 1998 for further discussion of how ADSs funded by allocable cost pools should be characterized. The FY 1998 Guidance Manual can be found on the ES&H Management Plan World Wide Web site. The URL for the Web site is http://homer.hsr.ornl.gov/bps/eshplan.

38. B&R Code - Identify the Budget and Reporting (B&R) code associated with the ADS. As noted above, each Resource Structure Code has a specific B&R code associated with it. This B&R code may be replaced or supplemented by the ES&H Planner or Facility Management. Facility ES&H planners, management, and financial personnel should ensure that the correct Resource Structure Code and B&R codes are identified for the ADS. The current list of valid B&R codes can be found in the Lookup Tables in the ES&H Management Plan Information System.

39. WFO/Cost Reimbursable Funding Source - *This is an optional field.* For activities funded from outside sources (e.g., work for others, cost reimbursable), provide an

indication of where the funding is coming from or what organization the work is being performed for (e.g., DOD, DOT, USAF, US ARMY, US NAVY, GSA).

40. Start Year - *This is an optional field*. This field and the End Year field are provided to assist in managing ADS cost data. Enter the first fiscal year (FY) for which funding is requested/attained for implementation of the ADS. For example, if the ADS is included in the FY 1999 ES&H Management Plan, but is not intended for implementation and funding until FY 2000, enter "2000" in the Start Year field. For existing, recurring activities, this field is not meaningful and should be left blank.

41. End Year - *This is an optional field*. This field and the Start Year field are provided to assist in managing ADS cost data. Enter the fiscal year the ADS is expected to be completed. The End Year field is meant for projects with an expected end date (typically CE, GPP, and LIP).

42. Activity Cost Estimate - Enter the estimated costs required to implement and complete the ADS. Enter costs by fiscal year and by funding category (i.e., "color of money") in the appropriate rows and columns. All costs should be entered to the nearest thousand dollars. First-year costs should not precede any fiscal year date entered in the Start Year field. Final year costs should not extend beyond any fiscal year date entered in the End Year field. For Compliance activities that have costs that extend 5 years or more beyond the Budget Year (BY +5), you must enter the total estimated cost to completion for the activity in the BY +5 row of the Activity Cost Estimate field.

43. FTE Requirements - Enter, by fiscal year, the number of effective person-years associated with full-time equivalent employees (FTEs) required to implement and complete the ADS. Both contractor and Federal FTEs are required, as applicable. FTE data may be entered up to two decimal places.

44. [n/a; Field Deleted] - This field was previously labeled “Additional Out-year Resources to Complete Compliance Activities.” This data is now to be incorporated in Item 42, “Activity Cost Estimate,” above.

45. Cost Estimate Notes - Provide notes or comments needed to support or justify the ADS cost estimates, including key planning assumptions used to develop activity costs. This should include an indication of whether funding has been escalated and, if so, what escalation factors were used. A discussion of cost escalations resulting from delays in starting the activity may also be discussed here. Information related to the Total Cost Assessment for Waste Minimization / Pollution Prevention ADSs should be provided here.

46. Management Approval - *This is Required for Compliance ADSs, optional for core and improvement ADSs*. Indicate whether management approval of the ADS data has been provided.

47. Activity In-process - *This is an optional field*. Indicate whether the ADS documents an activity that is already in process (i.e., budget obligations exist).

A1. Reviewed by - *This is Required for Compliance ADSs, optional for Core and Improvement ADSs*. Information in this field is not captured in the ES&H Management Plan Information System. However, the responsible manager should review the ADS and sign and date it to indicate his/her review and approval of the correctness and validity of the information contained in it. **Signed copies of Compliance ADSs should be retained at the site as an auditable record.**

A2. Approved by - *This is Required for Compliance ADSs, optional for Core and Improvement ADSs*. Information in this field is not captured in the ES&H Management Plan Information System. However, the responsible manager, so designated by the Operator, DOE Operations/Site Office, or SO to approve ADSs, should review the ADS and sign and date it to indicate his/her approval of the correctness and validity of the information contained in it. **Signed copies of Compliance ADSs should be retained at the site as an auditable record.**

The following instructions support the preparation of the Allocable Cost Pool Information Data Sheet. To accurately account for and characterize allocable ES&H costs, information must be provided for each allocable cost pool used to fund ES&H activities. This information does not need to be provided on each activity. Instead, it is captured one time for the entire facility. The Allocable Cost Pool Information Data Sheet provides a format for reporting this information.

45. Allocable Cost Pool Name - Identify the name of the allocable cost pool. This name is usually assigned and recognized by the facility finance, budget, and management personnel for a specific allocable cost pool. For example, the general site overhead pool might be named simply as "Site Overhead."

46. Allocable Cost Pool Identifier (Pool ID) - Identify the code to be used to associate an activity with the allocable cost pool named above. The Pool ID is a site-defined code and must be limited to eight (8) characters (e.g., OVERHEAD) for use in the ES&H Management Plan Information System. Each ADS to be funded from an allocable cost pool must be identified with the Pool ID for the allocable cost pool from which the ADS will be funded.

47. Allocable Cost Category - Indicate the cost category that best characterizes the allocable cost pool. Only one allocable cost category can be selected for each pool.

48. Allocable Cost Pool Type - Indicate the cost pool type that best characterizes the allocable cost pool. An allocable cost pool can only be either direct-funded or indirect-funded.

49. Resource Allocation Table - Enter the resource structure code and percent of total allocable cost pool for each funding source contributing to the allocable cost pool. The separate percentages allocated to different funding sources within the pool must sum to 100. For example, Site XYZ's Site Overhead allocable cost pool could have the following composition:

Resource Structure Code	B&R Code (optional)	Percent of Total Allocable Cost Pool
3Y5101		0.600
HA1002		0.900
JA0102		1.500
JA0110		0.200
TE0404		15.80
YA0808		81.00

Similarly, Site ABC could have a direct-funded, distributed cost pool as shown below:

Resource Structure Code	B&R Code (optional)	Percent of Total Allocable Cost Pool
TE0404		100.00

Appendix B

Functional Areas

Functional Areas have been established to assist planners in understanding and communicating the major ES&H issues, activities, and costs associated with a facility or site overall ES&H program. The functional area definitions provided in this attachment describe the programmatic activities that should be included for that particular functional area. Specific sub-areas and associated compliance drivers are delineated in each functional area to facilitate the development of comprehensive programs. The ES&H database is capable of capturing these sub-areas to aid management with program planning.

B.1 Safety and Health Functional Areas

The following functional areas are intended to capture site activities directed towards protection of the health and safety of the public and employees, which are required by federal, state, regional, or local law or regulation; Executive Order; or DOE Order. State, regional, or local regulations are often more restrictive than federal regulations, and, therefore, sites must be knowledgeable about all applicable safety and health requirements when defining their S&H program.

Overall compliance drivers that relate to many of the S&H functional areas by reference or by providing the broad foundation for comprehensive S&H programs are not listed for each functional area. These overall compliance drivers include the following.

DOE O 440.1 Worker Protection Management for DOE Federal and Contractor Employees

DOE 4330.4B Maintenance Management Program

DOE 5480.4 Environmental Protection, Safety, and Health Protection Standards

DOE 5480.19 Conduct of Operations Requirements for DOE Facilities

DOE 6430.1A General Design Criteria

The primary regulatory drivers (e.g., 29 CFR, DOE Orders, etc.) for each sub-area have been listed to aid in the identification of S&H activities which may fall within each area. While other regulations or Orders, in addition to those listed, may be relevant or may reference broad requirements, only those that provide specific and primary direction or requirements for a functional area have been listed.

Functional Area Code	**Functional Area Name and Description**
EP	**EMERGENCY PREPAREDNESS**

The Emergency Preparedness functional area includes all those activities that are intended to provide the final barrier for ensuring the safety and health of workers and the public, and for protecting property and the environment in the event of an emergency. Activities in this functional area include maintenance/inspection of emergency facilities and equipment; emergency response team personnel training, drills and exercises; maintaining/updating of current emergency plan based on site specific hazards; coordination with State and Local authorities and Federal agencies. Hazard assessment provides the technical basis for emergency management programs.

The extent of emergency planning and preparedness required for a particular facility directly corresponds to the type and scope of hazards present and the potential consequence of accidents or events. Plant equipment that is part of safety systems relied upon to prevent or mitigate accidents (HVAC, process monitors, etc.) are not included in this area, but are addressed in the Industrial Safety or Nuclear Safety functional areas. Planning related to use of emergency egress paths is included in this functional area, but the physical plant and equipment provided for normal and emergency egress are addressed in the Industrial Safety functional areas.

FP FIRE PROTECTION

The Fire Protection functional area includes all those activities that are intended to prevent, detect, and suppress fires. Activities in this functional area include fire prevention; fire detection; fire suppression systems; related inspections and testing; fire fighting and emergency response; loss prevention; operation of ambulances and fire fighting equipment; testing and inspection of fire suppression equipment and alarm systems; flammable and explosive material control; training/systems to National Fire Protection Association (NFPA), state and local requirements; review design plans/specifications for compliance with regulations, codes, and standards, and inspect construction areas for potential fire hazards; and mutual aid agreements with local authorities.

This functional area excludes those fire protection activities and/or systems that are solely for the benefit or protection of nuclear systems, storage areas, and/or processes (e.g., glove box inerting systems). These excluded activities are to be included in the Nuclear Safety functional areas.

IH INDUSTRIAL HYGIENE

The Industrial Hygiene functional area includes all those activities that are intended to provide protection to workers from chemical, biological, physical, and physiological hazards. Activities in this functional area include anticipation,

recognition, evaluation and control of health hazards, redesign of equipment and tasks, ventilation, substitution of less hazardous materials, written and verbal communication of real and perceived hazards, personnel protection, laser safety, and physiological stress, such as noise, heat, cold, and non-ionizing radiation. This functional area does not include medical surveillance, employee medical records, and exposure of workers to ionizing radiation.

IS INDUSTRIAL SAFETY

The Industrial Safety functional area includes all those activities that are intended for the protection of workers from physical trauma. Activities in this functional area include electrical safety; machinery and machine guarding; personnel protection; accident investigation; compressed gas and pressure system safety; hoisting, rigging, and material handling; lock-out/tag-out; confined space controls; platform, man-lift and scaffolding usage; safe surfaces for walking and working; cutting, welding and brazing safety; hand and portable power tool safety; explosives and hazardous material handling, storage and use; construction safety; firearms safety; and facility egress.

MS OCCUPATIONAL MEDICAL SERVICES

The Occupational Medical Services functional area includes all those activities that are intended to provide a comprehensive occupational medical program. Activities in this functional area include employee health examinations such as pre-placement and qualification, periodic, return to work, fitness for duty, and termination examinations; diagnosis and treatment of occupational illnesses and injuries; employee health counseling (employee assistance program and wellness); maintenance of medical records; emergency medical treatment and triage; specialized medical equipment; and immunization programs.

NS NUCLEAR SAFETY

The Nuclear Safety functional area includes those activities that serve to maintain or improve the level of safety involved with radioactive and or fissionable materials that exist in such form and quantity that a nuclear hazard potentially exists to the employees or the general public. Included are activities involving criticality safety or nuclear operations safety associated with the following types of operations:

- Production, processing, or storage of radioactive liquid or solid waste, fissionable materials or tritium;

- Nuclear material separations operations;

- Irradiated materials inspection, fuel fabrication, decontamination or recovery operations;

- Fuel enrichment operations;

- Environmental remediation or waste management activities involving radioactive materials.

It is not intended that the programmatic aspects of nuclear operations be captured and reported in this functional area; only those activities designed to enhance or maintain the safety and health performance of the line programs should be categorized as nuclear safety. The physical systems, personnel and programs to provide nuclear material accountability, safeguards, and security are not included in the ES&H Management Plan.

RP RADIATION PROTECTION

The Radiation Protection functional area includes all those activities that are intended to control exposures of workers and the public to radioactivity. Activities in this functional area include control equipment and procedures for radiation sources; interlocks, instrumentation and shielding for radiation-generating devices; equipment and procedures used to minimize or mitigate external exposure; personnel dosimetry, bioassay program, and ALARA programs; control of paths for inhalation or ingestion of radiation; radiation-exposure records; fixed and portable instrumentation for radiation detection and measurement; and contamination control.

TS TRANSPORTATION SAFETY

The Transportation Safety functional area includes all those activities that are intended to ensure safe packaging and transportation. Activities in this functional area include packaging certification; coordination of intra-building and onsite movements and transfers; offsite and international shipments; transportation (including marking and labeling) of hazardous material; inspection/maintenance of transportation equipment; testing and technology of transportation hardware; certification and training of transportation operators; aviation safety; motor vehicle safety; watercraft safety; and rail safety.

MO MANAGEMENT AND OVERSIGHT

The Management and Oversight functional area includes all those activities that are intended to coordinate, direct, integrate and control S&H activities across multiple functional areas. Activities in this area include S&H documentation and document control activities; configuration management; S&H performance trending, analyses, and lessons learned feedback; corrective action tracking; S&H

self-assessment activities; dedicated internal S&H personnel; coordination and communication with DOE, state, and local authorities; internal audits and surveillance; external S&H program reviews; operational readiness reviews; and voluntary protection program. Nuclear safety analyses are included in the Nuclear Safety functional area.

B.2 Environmental Functional Areas

The following functional areas are intended to capture site activities directed towards protection of air, water, and other environmental media, which are required by federal, state, regional, or local law or regulation; enforcement action (including Notice of Violation); Compliance Agreement; Executive Order; or DOE Order. State, regional, or local regulations are often more restrictive than federal EPA regulations, and, therefore, sites must be knowledgeable about all applicable environmental requirements when defining their environmental program.

Key Departmental environmental compliance drivers include:

DOE O 231.1 Environment, Safety, and Health Reporting

DOE O 451.1 National Environmental Policy Act Compliance Program

DOE 4700.1 Project Management System

DOE 5400.1 General Environmental Protection Program

DOE 5820.2A Radioactive Waste Management

Functional Area Code **Functional Area Name and Description**

CA PROTECTION OF AIR QUALITY

The Protection of Air Quality functional area includes activities designed to assess and monitor air quality and to control air contaminant emissions. The focus of this functional area is compliance with regulations promulgated or to be promulgated under the Clean Air Act to prevent significant deterioration of air quality in identified geographical areas; to conform to both mobile and point source air quality emissions standards; and to monitor and control the emissions of air toxins and those emissions which contribute to acid rain or depletion of stratospheric ozone. Activities in this functional area include inventory, inspection, and performance testing of air emissions sources; application for and maintenance and renewal of air operating permits; the construction, operation, and maintenance of control technologies applied to air emissions sources; and

monitoring of identified point sources. This functional area does not include compliance with radiological standards where otherwise addressed in the Radiation Protection S&H functional area or the control of air emissions from RCRA Treatment, Storage, and Disposal (TSD) facilities or Toxic Substances Control Act (TSCA) incinerators.

CW PROTECTION OF WATER QUALITY

The Protection of Water Quality functional area includes those activities arising from compliance with the Clean Water Act and the Safe Drinking Water Act to protect groundwater and surface waters; to assess and monitor surface water and drinking water quality; and to control sanitary and industrial wastewater discharge effluents to surface water, drinking water, or publicly owned treatment works. This area also includes the environmental protection activities associated with operation of wastewater pretreatment and discharge treatment facilities; and of potable water storage, treatment and distribution facilities. Where not otherwise addressed by corrective actions under RCRA or CERCLA, this functional area also addresses the assessment and monitoring of groundwater and control of discharges to groundwater.

CS CONTROL OF TOXIC SUBSTANCES

The Control of Toxic Substances functional area includes those activities which comply with federal, state, or local regulations to control the use and management of materials regulated because of their known or suspected toxic or hazardous characteristics. It encompasses regulations promulgated under a number of environmental laws to identify and promote the safe use of these materials and prevent their release into the environment. Among these are the Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA), the Superfund Amendments and Reauthorization Act (SARA), the Toxic Substances Control Act (TSCA), the Resource Conservation and Recovery Act (RCRA), and the Federal Insecticide, Fungicide, and Rodenticide Act (FIFRA). This area also includes the management of hazardous materials in underground storage tanks as promulgated under RCRA, but does not include management and funding of hazardous, mixed, or radioactive wastes.

ER ENVIRONMENTAL RESTORATION

The Environmental Restoration functional area includes those activities whose primary purpose is the correction of irregularities and contamination from leaks of pollutants, spills, past production, or at former sites such as Superfund. Those activities intended to alleviate or eliminate the effects of a release of a hazardous substance into the environment; alleviate or eliminate a threat of a release of an existing hazardous substance that could potentially harm people or the environment; or restore natural resources both on-site and off-site should be

included. The focus of this functional area is compliance with regulations promulgated under the Comprehensive Environmental Response, Compensation, and Liability Act (CERCLA), the Superfund Amendments and Reauthorization Act (SARA), or the Resource Conservation and Recovery Act (RCRA) for remedial investigation and remedial actions required to cleanup radiative, hazardous, or mixed waste contamination. Activities in this functional area include remedial investigations or facility assessment and investigation, remedial action plan and remedial design or corrective measures study preparation, soil and groundwater remediation, revegetation, and post-remediation monitoring.

ER.1 CERCLA Restoration

This area covers remedial actions conducted under CERCLA/SARA Section 120 (d) and (e) and Section 121. Activities include the confirmation of the presence or absence of hazardous materials; characterization of a release or potential release to determine any basis for further action; accurate determination of the nature and extend of the contamination problem; preliminary or conceptual engineering assessments of remedial action criteria and standards; selection of preferred remedial action alternative; preparation of detailed design and engineering plans; implementation of the selected remedial action; preparation of all required documentation.

ER.2 RCRA Restoration

This area covers remedial actions conducted on- and off-site under RCRA Section 3004 (u) and (v) and Section 3008 (h). Activities undertaken to effect closure of hazardous waste treatment, storage, and disposal units and interim status units are included.

ER.3 Other Restoration

This area covers remedial actions where the governing regulation (CERCLA/RCRA) has not been determined or is subject to change.

ER.4 Restoration Management

This area covers program and maintenance support activities, decontamination and decommissioning activities, and post-remediation monitoring.

PP POLLUTION PREVENTION AND WASTE MINIMIZATION

The Pollution Prevention functional area includes all site-wide and facility waste generator-specific activities that are predominantly associated with Waste Minimization and Pollution Prevention (WMin/PP). WMin/PP is defined to

include activities that involve source reduction and recycling of all wastes and pollutants. It includes practices that reduce the use of materials, energy, water, or other resources, and practices that protect natural resources through conservation or more efficient use. Detailed definitions of WMin/PP and other key terms for this functional area can be found in DOE's 1996 Pollution Prevention Program Plan and Pollution Prevention Strategy. The key regulatory driver is Executive Order (EO) 12856 (Federal Compliance with Right to Know and Pollution Prevention Requirements).

Compliance activities which are not predominately associated with pollution prevention, such as Toxic Release Inventory reporting, Clean Water Act compliance, etc., should be identified in the specific functional areas associated with the particular activity.

PP.1 Program Development and Management

This area includes projects and activities necessary to initiate WMin/PP strategies, plans and studies and to establish waste generation baselines. Specifically included for both site-wide and generator specific programs are items that establish Senior Management commitment, set quantitative source reduction and recycling goals and institute performance measures, implement Environmentally Sound Pollution Prevention Procurement practices, develop and implement incentive programs, and ensure compliance with federal, state, regional, or local laws and regulation or Departmental directives.

PP.2 Training and Awareness Programs

This area includes employee training and awareness programs and public outreach and awareness programs for both site-wide and generator specific programs.

PP.3 Opportunity Assessments and Cost/Benefit Analysis

This area includes those activities necessary to conduct WMin/PP opportunity assessments at any site or facility. All activities associated with identifying and prioritizing waste generating processes and activities including the use of cost/benefit analyses are included. Additional activities include generator activities associated with inventorying existing waste sources, development of a site priority waste stream list, and identification and prioritization of WMin/PP opportunities and RD&D needs.

PP.4 Source Reduction, Reuse and Recycling Activities for Hazardous and Radioactive Materials

This area includes projects and activities which, through source reduction, reuse, or recycling, reduce the use or requirements for, reduce/avoid the generation of, and reduce the volume or toxicity of hazardous, radioactive, or mixed wastes.

PP.5 Source Reduction, Reuse and Recycling for Toxic Chemicals

This area includes projects and activities which, through source reduction, reuse, or recycling, reduce the use or requirements for, reduce/avoid the generation of, and reduce the volume or toxicity of toxic chemicals. Activities to identify alternative chemicals for 33/50 program compliance would be included in this sub-area.

Hazardous materials and toxic chemicals include chemicals on the EPCRA Toxic Release Inventory list, ozone depleting chemicals, or other regulated hazardous materials.

PP.6 Technology Transfer and Research, Development & Demonstration (RD&D) Projects

This area includes those activities and programs which facilitate WMin/PP technology transfer and information exchange; and integrate pollution prevention into research, development, demonstration, test, and evaluation programs.

PP.7 Design and Specifications Review

This area includes those activities or projects related to the design of pollution prevention into new products, processes, and facilities; and the review and revision of technical standards or documents such as MILSPECS, MILSTDS, NEPA documents, operating standards, procurement requests, construction project documents, or quality assurance plans, etc.

WM WASTE MANAGEMENT

The Waste Management functional area includes those activities addressing the treatment, storage, and disposal of wastes. Activities include characterization and certification of waste to ensure its proper treatment or disposal; waste handling and temporary storage activities, such as operation of 90-day satellite accumulation areas for the storage of hazardous waste; operation and management of all waste treatment and disposal systems; and final disposal of all wastes.

MR MANAGEMENT, OVERSIGHT AND REPORTING

The Management, Oversight and Reporting functional area includes those activities which are intended to coordinate, direct, and integrate environmental

activities across multiple environmental functional areas. If management, oversight, and reporting activities can be directly and uniquely linked to a specific functional area, these activities should be reported under that functional area. Included within this functional area are coordination of the site environmental protection plans and implementation of National Environmental Policy Act (NEPA) requirements. Specific tasks include documentation and control; information management; compliance and corrective action tracking; environmental management audits, appraisals, and self-assessments; internal communication among divisional, program, or contractor staff; communication and coordination with DOE, other federal, state or local authorities; and general environmental monitoring and surveillance planning and coordination.

3. SAFEGUARDS AND SECURITY CROSSCUT ESTIMATES

a. Instructions for preparing Safeguards and Security Crosscut. The purpose of this section is to provide total Safeguards and Security (S&S) crosscut guidance for all Department of Energy (DOE) programs that protect classified matter, nuclear materials, and government property against theft, sabotage, espionage, and other acts that may cause adverse impacts on national security or harm to public health and safety. Included are DOE's S&S activities associated with research, development, production, processing and storage of nuclear weapons and special nuclear materials, protection of classified information and other critical U.S. energy resources. This information allows a systematic overview and evaluation of S&S funding at all DOE facilities, including area offices.

(1) General Guidelines:

(a) Each operations/field/area office and site will submit S&S estimates in the subcategories that are defined in paragraph 3.b. Estimates shall reflect **NEW BUDGET AUTHORITY** for FYPY, FYCY, and FYBY. The years requested in detail are defined as follows:

Fiscal Year Prior Year = FYPY = 1997
Fiscal Year Current Year = FYCY = 1998
Fiscal Year Budget Year = FYBY = 1999

The **preferred reporting format** displaying the categories, subcategories, and Budget and Reporting (B&R) classifications for each site **will be issued to the sites under separate cover** by the Office of Safeguards and Security (NN-513). However, an example format is shown in Figure IV-3.3 for your reference which shows the categories and subcategories. Please note that this format must be completed for **each** B&R used to fund S&S activities. If you use the preferred format, you do NOT have to submit Figure IV - 3.3. In either case, please do not include amounts for any reimbursable work within these categories or subcategories. Reimbursable costs are addressed in the Site Summary Table (Figure IV-3.4). Sites or facilities that have not been reporting data in the S&S Crosscut and believe that they should be reporting in the Crosscut may contact the cognizant program analyst shown in Figure IV-3.1.

(b) S&S activities that are directly funded by a program should be reported against that program's B&R classification. Overhead pools (indirect funding) that support S&S activities should be prorated with the prorated funds allocated to each program by B&R code. Where many programs contribute small amounts to overhead pools, it is not necessary

to separately list every program's B&R classification. The funding in these indirect pools may be combined into a summary category labeled "All Other B&R's" if the amount of funding is extremely small. Because funds labeled "All Other B&R's" have no Headquarters cognizant program office, this category should be used sparingly.

(c) Each operations/field/area office and site will submit a summary of total site S&S funding (Operating Expenses, Capital Equipment, and Construction), as well as all reimbursable amounts as depicted in Figure IV-3.4. Reimbursable work is defined as any work or service performed by DOE and DOE contractors for either a Federal or non-Federal customer which is part of the customer's mission and for which the Department does not receive direct appropriated funds from Congress. The amounts reflected as DOE Operating Expenses, Capital Equipment, and Construction funding (line 4 of Figure IV - 3.4) should correspond to those totals presented in the S&S detailed crosscut budget (either the preferred format or the sum of Figure IV - 3.3 for each B&R).

(d) Please provide **an original and one** copy of the S&S Crosscut estimates to the Office of Safeguards and Security, (NN-513), addressed to the designated point of contact (POC) as displayed in Figure IV-3.1. Provide one copy to the **appropriate program office(s)** that will directly or indirectly fund S&S activities relevant to their program as displayed in Figure IV - 3.2. For those program offices having a Safeguards & Security Representative, also **furnish one copy of the input to this S&S Representative.**

(e) Listed below are a few guidelines for reference when collecting and collating the data requested.

* All federal and contractor funded activity **should** be reported. Notice that this requirement is NOT the same as the Functional Support Cost Report.

* All dollars should represent new budget authority and be fully loaded as defined in Attachment E of the FY 1999 Field Budget Call.

* Classification and declassification activities **should** be included in the crosscut estimates.

* Items such as Emergency Response, Emergency Operations Center, NEST, FRMAC, and other non-safeguards and security functions should **NOT** be reported in the crosscut.

International Safeguards and Security estimates should only reflect the budgeted figures associated with the safeguarding and securing of domestic DOE sites. Other than the dollars associated with the maintenance of the GJ04 INA program at LLNL, and the dollars identified for general and administrative overhead costs at some labs, NO other dollars are to be included.

* Special Technologies Program (STP) intelligence-related funding should **not** be included.

(2) Narrative Justification:

Explain any significant changes between the FYPY, FYCY, and FYBY estimates in the narrative justification (see Figure IV-3.5). This part of the document is **EXTREMELY important** to the S&S staff since it is frequently used to address questions from internal DOE management, the Office of Management and Budget as well as Congressional subcommittees. **Specific attention should be focused on explaining increases and decreases between FY 1997 - FY 1998 and FY 1998 - FY 1999, by S&S category.** Describe the impact if funds are not approved at the level requested. Background which explains changes in mission, personnel levels, programs and rationale behind these changes from the last field submission is also desired.

(3) Specific Guidance with Regard to Construction Projects:

(a) Construction project data sheets detailing S&S-related line item construction projects shall be included with the S&S Crosscut request. This includes any line item construction projects that are funded by a program office's operating dollars. Regardless of the color of money used, please display the funding for line item projects in the Safeguards and Security Crosscut "Line Item Construction" category.

(b) Please provide a list of items being funded under the Capital Equipment and General Plant Project (GPP) categories (see Figure IV-3.6). Please provide the name, Capital Equipment and GPP number (if appropriate), funding amount by fiscal year, a brief description, and the status of the item. This will help in preparing narrative justifications for Headquarters S&S management.

(4) Safeguards and Security Staffing:

S&S staffing should be reported for all Operating Expense categories at all locations, including area offices. Please display the full-time-equivalents

(FTEs) as shown in Figure IV-3.7. The FTEs should include Federal employees, Management and Operating (M&O) and Management and Integrating (M&I) Contractor employees, and support service contract employees to DOE and the M&O and M&I Contractors. **The Federal FTEs should be based on 2,080 hours of straight time worked per year.** Also, if the non-federal employees (contractors) FTE hour per year rate is different than 2,080, the difference should be explained in the narrative area. If the site/facility has significant overtime, please calculate the overtime FTEs requested on a separate attachment with a brief explanation. The dollars associated with the FTEs in each category should represent fully loaded costs of the FTE, as defined in Attachment E of the FY 1999 Field Budget Call.

(5) Ten-Year Program Analysis:

In accordance with OMB Circular A-11 and DOE emphasis on long-term strategic planning, a Ten-Year Program Analysis for Atomic Energy Defense Activities (AEDA) and Non-AEDA programs will be provided (see Figure IV-3.8). The Fiscal Years requested are as follows:

FYPY	1997
FYCY	1998
FYBY	1999
FYBY +1	2000
FYBY +2	2001
FYBY +3	2002
FYBY +4	2003
FYBY +5	2004
FYBY +6	2005
FYBY +7	2006
FYBY +8	2007
FYBY +9	2008

Please use only those B&R classifications which correspond to the B&Rs identified by your site in the detail exhibit. Data for non-AEDA B&R codes should be totaled and displayed on the "All Other Non-AEDA" line in Figure IV-3.8 for each category. Please provide a brief summary of the assumptions made in preparing this table.

b. Definitions.

(1) **Operating Expenses.** Operating expenses are normally used to budget for operational activities and includes such items as labor, travel, training, and small dollar items which are not intended to be capitalized (i.e., less than $25,000 and a useful life of less than two years).

(a) **Program Management**: (FORMERLY S&S PROGRAM DIRECTION) Includes all personnel and operating costs for planning; professional development and training; inspections, surveys or assessments; test and evaluation; resource planning and implementation for S&S; policy oversight; management and administration; responses to management requests and foreign ownership, control or influence (FOCI).

1 *Planning* - includes personnel and operating expenses associated with such efforts as: development and implementation of S&S plans, procedures and actions to accomplish S&S policy requirements; the development, management and oversight of an acceptance and validation testing and evaluation (T&E) program and related documentation; the development and management of a FOCI program, monitoring and notifications; development of S&S estimates, S&S financial data, and S&S cost data to reply to information requests from the Office of Safeguards and Security, inspector general (IG), Security Evaluations (SE), General Accounting Office (GAO), Congress, and special ad hoc groups; S&S resource review and bench marking recommendations.

2 *Professional Training and Development* - includes personnel and operating expenses associated with such efforts as: the establishment, maintenance, direction, support and assessment of a S&S training program which satisfies DOE-established policies; the certification and approval of the S&S training program; the development, management and maintenance of an S&S training records management system; the training of personnel to perform tasks associated with their duties, and qualification and/or certification of personnel before assignment of S&S responsibilities.

3 *Policy Oversight and Administration* - includes personnel and operating expenses associated with such efforts as: the effective management, direction and oversight of S&S organizational activities, policies and guidance to assure implementation of S&S requirements; inspections, surveys, or assessments to determine the status of the S&S program and to evaluate its effectiveness; development and management of a facility survey and approval program, facility pre-

survey planning or scheduling; verification of the acceptability and validity of existing facility approval status; granting new facility approval; terminating facility approval; maintenance of facility data and approval records; identification, tracking and closure of findings or deficiencies noted during inspections, pre-surveys, surveys or assessments; development of reports to identify S&S program deficiencies, status and corrective actions.

(b) **Protective Forces**: Includes all personnel and operating costs associated with Protective Forces to include but not limited to salaries, overtime, benefits, materials and supplies; equipment and facilities; vehicles; helicopters; training; communication equipment and management. The subcategories are described below.

1 *Salaries, wages and benefits* - includes salary, overtime, and benefits for uniformed protective forces and other protective force administrative and support personnel funded by safeguards and security.

2 *Materials and supplies* - includes all personnel and operating expenses associated with the availability of protective force materials and supplies such as: uniforms; normal contractor operating materials and supplies; the conduct and management of inspections, storage and inventory of materials and supplies; development and management of inventory or material and supply tracking systems and development, revision and management of status reports.

3 *Equipment and facilities* - includes personnel and operating expenses associated with such efforts as: availability and management of protective force equipment (weapons, explosives, ammunition, chemical agents, protective masks, tactical vests, handcuffs, flashlight or other individual, special purpose or duty equipment) and facilities; communication equipment (radios, telephones, etc.); vehicles, and the mandatory equipment to be included with each vehicle including specialized equipment such as snow and watercraft; security force helicopter operations; conduct and management of inspections of equipment and facilities; storage and inventory of equipment; development and management of inventory or equipment tracking systems and development, revision and management of status reports.

4 *Protective Force Training* - includes personnel and operating expenses associated with such efforts as: the development and management of a formal training program for uniformed and other protective

force, administrative and support personnel; development of training-needs analysis; development and implementation of training plans and courses for uniformed, administrative and support personnel; training of uniformed, administrative and support personnel to perform tasks associated with their duties (job task analysis), and the conduct of training exercises for uniformed protective force personnel.

5 *Protective Force Management* - includes personnel and operating expenses associated with such efforts as: protective force planning; development and management of manuals, orders and plans to implement old and new DOE 5632 series orders; development and administration of management systems, procedures, support tasks, and status reporting for the protective force program; examination of protective force personnel, equipment, weapons, vehicles, facilities and other protective force aspects to determine the effectiveness of the protective force.

(c) **Physical Security Protection Systems**: Includes all personnel and operating costs associated with such efforts as: performance testing, intrusion detection and assessment; barrier/secure storage, and entry control/access controls. The subcategories are described below.

1 *Performance Testing* - includes personnel and operating expenses associated with such efforts as: the examination and testing of physical security systems to ensure their effectiveness and operability.

2 *Intrusion Detection and Assessment* - includes personnel and operating expenses associated with such efforts as: the implementation and maintenance of intrusion detection systems (i.e. reporting equipment, alarms, CCTV, sensors, line supervision, alarm management and processing center, protective lighting, voice communications, etc.) as required by DOE orders; assessment of the reliability, accuracy, timeliness and effectiveness of intrusion detection systems and development and reporting of intrusion alarm reports as required by DOE orders.

3 *Barrier/Secure Storage/Locks* - includes personnel and operating expenses associated with such efforts as: the implementation and maintenance of physical barriers (i.e. fabricated or natural impediments); to restrict, limit, delay or deny entry into a designated area; the use of locking devices to delay entry, and secure storage used to protect classified matter while in storage.

4 *Entry Control/Access Controls* - includes personnel and operating expenses associated with such efforts as: the implementation and maintenance of a badge system, and access control systems to ensure that persons entering/leaving facilities are authorized, and that they do not introduce prohibited articles into or remove Government property from Departmental facilities in accordance with DOE orders and local directives.

5 *Vital Components and Tamper-safe Monitoring* - includes personnel and operating expenses associated with such efforts as: the monitoring of tamper-indicating devices (TID) and alarms (i.e. found on containers, doors, fences), but does not include those TIDs associated with the MC&A program, which reveals violations of containment integrity and posting and monitoring of anti-tamper warnings or signs as specified in DOE orders.

(d) **Transportation**: All security-related transportation costs (both intra- and inter-site transfers) for transport of special nuclear materials (including safe havens), weapons, and other classified material. Includes personnel costs (salaries, wages, benefits and training), and equipment costs, such as maintenance, facilities, security upgrades to vehicles, and communications.

(e) **Information Security**: Includes all personnel, operating and equipment costs associated with classified documents and material, classification AND declassification, unclassified controlled nuclear information, security infractions, information assurance, automated information systems security, technical surveillance countermeasures, and operations security. The subcategories are described below.

1 *Information protection* - includes all personnel and operating costs associated with the protection of classified and sensitive unclassified information.

2 *Information assurance* (FORMERLY AUTOMATED INFORMATION SYSTEMS (AIS) SECURITY) - includes all personnel and operating costs associated with programs directed at protecting traditional and non-traditional automated information systems (AIS) that either process sensitive unclassified and classified information or are critical to facility operations from traditional and Information Warfare threats (both internal and external adversaries). Traditional AISs include standalone PCS, network-based Local Area Network/Wide Area Network (LAN/WAN) systems, micro-, mini-, mainframe-, and super-

computers. Non-traditional AISs include automated process control systems; fire, criticality, and security alarm systems; telephone and network switching systems (i.e., Asynchronized Transfer Mode (ATM) and Frame Relay); electrical power distribution control systems; oil and gas distribution control systems; and other Systems Control and Data Acquisition (SCADA)- type systems. All security-related costs associated with site-wide and complex-wide network management, Internet access, data integrity and transmission security (i.e., encryption, public key infrastructure, digital signature, etc.) training and education, and incident management should be included.

3 *Technical surveillance countermeasures* - includes all personnel and operating costs associated with technical surveillance countermeasures.

4 *Operations security* - includes all personnel and operating costs, and training materials, associated with the operations security (OPSEC) program, such as the OPSEC organization, program planning, and program conduct.

(f) **Personnel Security**: Includes all costs for clearance program, initial investigations, reinvestigations, adjudication, security education, visitor control, Personnel Security Assurance Program, psychological/medical assessments (including the Accelerated Access Authorization Program), national agency checks, and administrative review costs. The subcategories are described below.

1 *Clearance program* - includes the personnel and operating costs for such activities as Personnel Security Assurance Program; adjudications: screening and analysis of personnel security cases for determining eligibility for access authorizations; national agency checks; and handling Freedom of Information (FOI) and Privacy Act requests.

2 *Initial investigations* - includes the personnel and operating costs associated with such activities as reviewing the Questionnaire for Sensitive Positions (SF-86), initial screenings, Central Personnel Clearance Index (CPCI) updates, and the Accelerated Access Authorization Program (AAAP).

3 *Reinvestigations* - includes the personnel and operating costs associated with recurring investigations for DOE, contractor, and subcontractor personnel.

4 *Security Awareness program* - includes the personnel and operating cost of establishing and maintaining security education and awareness programs for DOE and DOE contractor employees.

5 *Visit control* - includes the personnel and operating costs associated with classified visits as well as unclassified visits and assignments by foreign nationals.

(g) **Material Control & Accountability (MC&A)**: Includes all personnel and operating costs associated with control and accountability of special nuclear materials, nuclear weapons, test devices, and weapons components and parts. Includes MC&A access areas, surveillance, containment, detection, assessment, testing, transfers, verifications and measurements, inventories, reconciliation, and statistical analysis. The subcategories are defined below.

1 *Material control* - includes the personnel and operating costs associated with material access, data and equipment, material surveillance, material containment, and detection/assessment of those items listed in 3.b.(1)(g) above.

2 *Material accountability* - includes the personnel and operating costs associated with accounting systems, inventories, measurements and measurement control, material transfers, and tamper indicating devices associated with the material accountability program.

(h) **Research & Development**: Includes all personnel and operating costs incurred through research and/or the systematic development of technologies for use in Physical Security, Material Control and Accounting, Information Security, and Personnel Security. This would encompass any activities that are required for a technology to progress from basic research to full scale development and the technology transfer of a product to a commercial vendor, to include any modification of proven technologies to satisfy safeguards and security requirements.

(2) **CAPITAL EQUIPMENT.** This category provides for capital equipment not related to a specific construction project, including the costs for installing the equipment. Field budget submissions should contain a detailed list of the equipment being requested in Figure IV-3.6 for each fiscal year, and indicate whether it is a new item of equipment or is replacing existing equipment.

(3) **CONSTRUCTION**. Projects requiring construction of a structure or facility having a useful life of two years or more are funded out of capital funds in either a line-item project, or in a general plant project (GPP) if under the

Congressional limitation for GPP projects (currently $2 million). Please provide project data sheets for line-item construction projects. Please include a detailed list of the general plant projects for each fiscal year identified in Figure IV-3.6.

SAFEGUARDS & SECURITY CROSSCUT
PROGRAM ANALYSTS by FACILITY

KAREN STEWART / 301-903-9934

Albuquerque Operations Office
Kansas City Area Office and Allied Signal
Central Training Academy
Grand Junction Project Office
Los Alamos Area Office and National Laboratory
Amarillo Area Office and Pantex Plant
Pinellas Area Office and Pinellas Plant
Kirtland Area Office and Sandia National Laboratories
Transportation Safeguards Division
Waste Isolation Pilot Plant

Rocky Flats Environmental Technology Site

Nevada

Oakland Operations Office
Lawrence Berkeley National Laboratory
Lawrence Livermore National Laboratory
Stanford Linear Accelerator Center

Oak Ridge Operations Office
Oak Ridge Institute for Science and Education
Paducah Gaseous Diffusion Plant
Portsmouth Gaseous Diffusion Plant
Protective Services Organization (Y-12, K-25, ORNL, Central)
Thomas Jefferson National Accelerator Facility

Ohio Field Office
Fernald Environmental Restoration Management Corp.
Mound
West Valley

Office of Scientific and Technical Information

ALICE KING / 301-903-8782

Chicago Operations Office
Ames Laboratory
Argonne National Laboratories
Brookhaven National Laboratory
Environmental Measurements Laboratory
Fermi National Accelerator Laboratory
New Brunswick Laboratory
Princeton Plasma Physics Laboratory

Golden Field Office (National Renewable Energy Laboratory)

Idaho

Richland

Savannah River

Western Area Power Administration

Bartlesville Project Office

Morgantown Energy Technology Center

Pittsburgh Energy Technology Center

Naval Petroleum and Oil Shale Reserves

Strategic Petroleum Reserve Project Office

Pittsburgh Naval Reactors

Schenectady Naval Reactors

Headquarters

FAX NUMBERS: 301-903-2571 (few pages) or 301-903-2247 (larger documents)

PROGRAM OFFICE CONTACTS

Program Office	Contact	Phone
Defense Programs	Thomas Cousins	301-903-4245
Environmental Management	Maurice Daugherty	301-903-9978
Nuclear Energy **(AF)**	Nadene Tinker	301-903-5407
Nuclear Energy **(AJ)**	Mike Parrino	703-603-8282
Nuclear Energy **(CD)**	Carol Warner	301-903-5870
Fossil Energy	Melissa Nicholson	301-903-2626
Fossil Energy	Richard Bowen	202-586-4489 (Naval Petroleum and Oil Shale Reserves)
Fossil Energy	Mary Carol Shannahan	202-586-4487 (Strategic Petroleum Reserve)
Environment, Safety and Health	Colleen Feldmeyer	301-903-2366 **(New B&Rs - HC, HD, HE, HF)**
Energy Research	Isla Linger	301-903-5590
Civilian Radioactive Waste Management	Nick DiNunzio	202-586-8953
Energy Efficiency & Renewable Energy	Herb Owens	202-586-9264
Fissile Materials Disposition	Sandy Haller	202-586-3448
Nonproliferation & National Security **(GC)**	Robert Waldron	202-586-0359
Nonproliferation & National Security **(GJ)**	Rosann Werner	202-586-7961
Nonproliferation & National Security **(GD**	Brenda Swiger	301-903-4440
Nonproliferation & National Security **(GH)**	Gladys Ford	301-903-5396
Nonproliferation & National Security **(ND)**	Kathleen Watts	202-586-3776
Nonproliferation & National Security **(NT)**	Larry Cain	202-586-0318 (LANL & LLNL)
Nonproliferation & National Security **(NT)**	Ann Heinrich	202-586-8165 (Nevada only)

DEPARTMENT OF ENERGY
Safeguards and Security Crosscut Estimates
FY 1999 Field Budget Request
(New Budget Authority in Thousands)

	FYPY	FYCY	FYBY

FACILITY: _____

BUDGET and REPORTING CLASSIFICATION: ____

SECTION I: Operating Expenses

A. Program Management **(FORMERLY PROGRAM DIRECTION)**
   1. Planning
   2. Professional training and development
   3. Policy oversight and administration

   TOTAL Program Management

B. Protective Forces
   1. Salaries, wages, benefits
   2. Materials and supplies
   3. Equipment and facilities
   4. Protective Force training
   5. Protective Force management

   TOTAL Protective Forces

C. Physical Security Protection Systems
   1. Performance testing
   2. Intrusion detection and assessment
   3. Barriers/secure storage/locks
   4. Entry control/access controls
   5. Vital components and tamper-safe monitoring

   TOTAL Physical Security

D. Transportation
   1. Personnel
   2. Equipment

   TOTAL Transportation

E. Information Security
   1. Information protection
   2. Information assurance **(FORMERLY AUTOMATED INFORMATION SYSTEMS (AIS) SECURITY)**
   3. Technical surveillance countermeasures
   4. Operations security

   TOTAL Information Security

DEPARTMENT OF ENERGY
Safeguards and Security Crosscut Estimates
FY 1999 Field Budget Request
(New Budget Authority in Thousands)

	FYPY	FYCY	FYBY

FACILITY: _____

BUDGET and REPORTING CLASSIFICATION: ____

F. Personnel Security
1. Clearance program
2. Initial investigations
3. Reinvestigations
4. Security education program
5. Visit control

TOTAL Personnel Security

G. Material Control and Accountability
1. Material control
2. Material accountability

TOTAL Material Control & Accountability

H. Research and Development
1. Research
2. Technology development

TOTAL Research & Development

SUBTOTAL SECTION I: Operating Expenses

SECTION II: CAPITAL EQUIPMENT

SECTION III: GENERAL PLANT PROJECTS

TOTAL OPERATING EXPENSES (total of sections I, II, and III)

SECTION IV: LINE ITEM CONSTRUCTION

TOTAL S&S CROSSCUT (total of sections I, II, III, and IV)

DEPARTMENT OF ENERGY
SAFEGUARDS and SECURITY CROSSCUT ESTIMATES
FY 1999 FIELD BUDGET REQUEST
FACILITY/SITE SUMMARY
(New Budget Authority in Thousands)

Type of Funding	**FY 1997**	**FY 1998**	**FY 1999**
1. a. DOE Funded Operating			
b. DOE Funded Capital Equipment			
c. DOE Funded General Plant Projects			
2. SUBTOTAL DOE Funded Operating (add lines 1.a. - 1.c.)			
3. DOE Funded Line Item Construction			
4. SUBTOTAL DOE FUNDED S&S (add lines 2-3)/ See Note A.			
5. Direct Funded Reimbursable			
6. Reimbursable Funded Overhead			
7. TOTAL SAFEGUARDS & SECURITY CROSSCUT (add lines 4, 5, 6)			

NOTE A: The amount shown here for SUBTOTAL DOE FUNDED S&S (line 4) should match the total found on the detail S&S crosscut estimates being submitted for this site.

Figure IV - 3.4
Site Summary

DEPARTMENT OF ENERGY
SAFEGUARDS and SECURITY CROSSCUT ESTIMATES
FY 1999 FIELD BUDGET REQUEST
NARRATIVE JUSTIFICATION

OPERATIONS OFFICE: _____
FACILITY: _____

DIRECTIONS: ***Please provide a detailed explanation of any increases or decreases between FY 1997 - FY 1998 and between FY 1998 - FY 1999, by category.***

Operating Expenses:

Program Management:

Protective Forces:

Physical Security:

Transportation:

Information Security:

Personnel Security:

Material Control & Accountability:

Research & Development:

Capital Equipment:

General Plant Projects:

CONSTRUCTION - LINE ITEM PROJECTS:

DEPARTMENT OF ENERGY

SAFEGUARDS and SECURITY CROSSCUT ESTIMATES

FY 1999 FIELD BUDGET REQUEST

CAPITAL EQUIPMENT REQUEST

OPERATIONS OFFICE: _____

SITE/FACILITY: _____

DIRECTIONS: ***Please provide a detailed list of capital equipment expected to be purchased FOR FY 1997, FY 1998, and FY 1999. Be sure the dollar amounts total the amount shown in the Safeguards & Security Capital Equipment category.***

DEPARTMENT OF ENERGY

SAFEGUARDS and SECURITY CROSSCUT ESTIMATES

FY 1999 FIELD BUDGET REQUEST

GENERAL PLANT PROJECTS REQUEST

OPERATIONS OFFICE: _____

SITE/FACILITY: _____

DIRECTIONS: ***Please provide a detailed list of General Plant Projects requested FOR FY 1997, FY 1998, and FY 1999. Be sure the dollar amounts total the amount shown in the Safeguards & Security GPP category.***

GPP #	GPP Title	Fiscal Year	Amount	Brief Description	Status

DEPARTMENT OF ENERGY
FY 1999 FIELD BUDGET REQUEST
SAFEGUARDS & SECURITY CROSSCUT STAFFING BREAKDOWN
(Full-Time Equivalents {FTE} and New Budget Authority {in thousands})

Facility: _____

	FY 1997						FY 1998						FY 1999					
	Federal		Contractor		Total		Federal		Contractor		Total		Federal		Contractor		Total	
S&S Category	FTEs	($ in 000)	FTEs	($ in 000)	FTEs	($ in 000)	FTEs	($ in 000)	FTEs	($ in 000)	FTEs	($ in 000)	FTEs	($ in 000)	FTEs	($ in 000)	FTEs	($ in 000)
Program Management					0.00	$0					0.00	$0					0.00	$0
Protective Forces					0.00	$0					0.00	$0					0.00	$0
Uniformed					0.00	$0					0.00	$0					0.00	$0
Management/Other					0.00	$0					0.00	$0					0.00	$0
Subtotal Pro. Forces	0.00	$0	0.00	$0	0.00	$0	0.00	$0	0.00	$0	0.00	$0	0.00	$0	0.00	$0	0.00	$0
Physical Security					0.00	$0					0.00	$0					0.00	$0
Transportation					0.00	$0					0.00	$0					0.00	$0
Information Security					0.00	$0					0.00	$0					0.00	$0
Personnel Security					0.00	$0					0.00	$0					0.00	$0
Mat. Control & Acct.					0.00	$0					0.00	$0					0.00	$0
Research & Dvlpmnt					0.00	$0					0.00	$0					0.00	$0
TOTAL FTEs and $	0.00	$0	0.00	$0	0.00	$0	0.00	$0	0.00	$0	0.00	$0	0.00	$0	0.00	$0	0.00	$0

{NOTE: The FTEs should be calculated using a base of 2,080 hours for Federal employees. FTEs are based on straight time. If you have significant overtime, please provide the overtime FTEs requested and a brief explanation in a separate attachment.}

Figure IV - 3.7
S&S Staffing Breakdown

U.S. DEPARTMENT OF ENERGY
FY 1999 FIELD BUDGET REQUEST
SAFEGUARDS & SECURITY CROSSCUT ESTIMATES
(Tabular Dollars in Thousands)
TEN-YEAR PROGRAM ANALYSIS for ATOMIC ENERGY DEFENSE ACTIVITIES (AEDA) and NON-AEDA ACTIVITIES

FACILITY:_____

TYPE OF FUNDS	FY 1997	FY 1998	FY 1999	FY 2000	FY 2001	FY 2002	FY 2003	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008
OPERATING EXPENSES												
AEDA												
AJ, Naval Reactors												
DP, Weapons Activities												
EW, Environ. Rest. - Def												
GA, Fissile Materials Disp.												
GC, Nnprlfrtn & Ver. R&D												
GD, Nuclear S&S												
GG, Worker & Cmmnty Tran.												
GH, Security Investigations												
GJ, Arms Control & Nnprlfrtn												
HD, ES&H (Defense)												
ND, Emergency Management												
NN, NN Program Direction												
NT, Intelligence												
SUBTOTAL AEDA	0	0	0	0	0	0	0	0	0	0	0	0
ALL NON-AEDA												
SUBTOTAL OPERATING	0	0	0	0	0	0	0	0	0	0	0	0

Figure IV - 3.8
Ten-Year Safeguards & Security Crosscut Program Analysis

U.S. DEPARTMENT OF ENERGY
FY 1999 FIELD BUDGET REQUEST
SAFEGUARDS & SECURITY CROSSCUT ESTIMATES
(Tabular Dollars in Thousands)
TEN-YEAR PROGRAM ANALYSIS for ATOMIC ENERGY DEFENSE ACTIVITIES (AEDA) and NON-AEDA ACTIVITIES

FACILITY:_____

TYPE OF FUNDS	FY 1997	FY 1998	FY 1999	FY 2000	FY 2001	FY 2002	FY 2003	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008
CAPITAL EQUIPMENT												
AEDA												
AJ, Naval Reactors												
DP, Weapons Activities												
EW, Environ. Rest. - Def												
GA, Fissile Materials Disp.												
GC, Nnprlfrtn & Ver. R&D												
GD, Nuclear S&S												
GG, Worker & Cmmnty Tran.												
GH, Security Investigations												
GJ, Arms Control & Nnprlfrtn												
HD, ES&H (Defense)												
ND, Emergency Management												
NN, NN Program Direction												
NT, Intelligence												
SUBTOTAL AEDA	0	0	0	0	0	0	0	0	0	0	0	0
ALL NON-AEDA												
SUBTOTAL CAP. EQUIP.	0	0	0	0	0	0	0	0	0	0	0	0

Figure IV - 3.8
Ten-Year Safeguards & Security Crosscut Program Analysis

U.S. DEPARTMENT OF ENERGY
FY 1999 FIELD BUDGET REQUEST
SAFEGUARDS & SECURITY CROSSCUT ESTIMATES
(Tabular Dollars in Thousands)
TEN-YEAR PROGRAM ANALYSIS for ATOMIC ENERGY DEFENSE ACTIVITIES (AEDA) and NON-AEDA ACTIVITIES

FACILITY:_____

TYPE OF FUNDS	FY 1997	FY 1998	FY 1999	FY 2000	FY 2001	FY 2002	FY 2003	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008
GENERAL PLT. PRJ. (GPP)												
AEDA												
AJ, Naval Reactors												
DP, Weapons Activities												
EW, Environ. Rest. - Def												
GA, Fissile Materials Disp.												
GC, Nnprlfrtn & Ver. R&D												
GD, Nuclear S&S												
GG, Worker & Cmmnty Tran.												
GH, Security Investigations												
GJ, Arms Control & Nnprlfrtn												
HD, ES&H (Defense)												
ND, Emergency Management												
NN, Program Direction												
NT, Intelligence												
SUBTOTAL AEDA	0	0	0	0	0	0	0	0	0	0	0	0
ALL NON-AEDA												
SUBTOTAL GPP	0	0	0	0	0	0	0	0	0	0	0	0

Figure IV - 3.8
Ten-Year Safeguards & Security Crosscut Program Analysis

U.S. DEPARTMENT OF ENERGY
FY 1999 FIELD BUDGET REQUEST
SAFEGUARDS & SECURITY CROSSCUT ESTIMATES
(Tabular Dollars in Thousands)
TEN-YEAR PROGRAM ANALYSIS for ATOMIC ENERGY DEFENSE ACTIVITIES (AEDA) and NON-AEDA ACTIVITIES

FACILITY:_____

TYPE OF FUNDS	FY 1997	FY 1998	FY 1999	FY 2000	FY 2001	FY 2002	FY 2003	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008
LINE ITEM CONSTR.												
AEDA												
AJ, Naval Reactors												
DP, Weapons Activities												
EW, Environ. Rest. - Def												
GA, Fissile Materials Disp.												
GC, Nnprlfrtn & Ver. R&D												
GD, Nuclear S&S												
GG, Worker & Cmmnty Tran.												
GH, Security Investigations												
GJ, Arms Control & Nnprlfrtn												
HD, ES&H (Defense)												
ND, Emergency Management												
NN, NN Program Direction												
NT, Intelligence												
SUBTOTAL AEDA	0	0	0	0	0	0	0	0	0	0	0	0
ALL NON-AEDA												
SUBTOTAL LINE ITEMS	0	0	0	0	0	0	0	0	0	0	0	0

Figure IV - 3.8
Ten-Year Safeguards & Security Crosscut Program Analysis

U.S. DEPARTMENT OF ENERGY
FY 1999 FIELD BUDGET REQUEST
SAFEGUARDS & SECURITY CROSSCUT ESTIMATES
(Tabular Dollars in Thousands)
TEN-YEAR PROGRAM ANALYSIS for ATOMIC ENERGY DEFENSE ACTIVITIES (AEDA) and NON-AEDA ACTIVITIES

FACILITY:_____

TYPE OF FUNDS	FY 1997	FY 1998	FY 1999	FY 2000	FY 2001	FY 2002	FY 2003	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008
TOTAL S&S CROSSCUT												
AEDA												
AJ, Naval Reactors	0	0	0	0	0	0	0	0	0	0	0	0
DP, Weapons Activities	0	0	0	0	0	0	0	0	0	0	0	0
EW, Environ. Rest. - Def	0	0	0	0	0	0	0	0	0	0	0	0
GA, Fissile Materials Disp.	0	0	0	0	0	0	0	0	0	0	0	0
GC, Nnprlfrtn & Ver. R&D	0	0	0	0	0	0	0	0	0	0	0	0
GD, Nuclear S&S	0	0	0	0	0	0	0	0	0	0	0	0
GG, Worker & Cmmnty Tran.	0	0	0	0	0	0	0	0	0	0	0	0
GH, Security Investigations	0	0	0	0	0	0	0	0	0	0	0	0
GJ, Arms Control & Nnprlfrtn	0	0	0	0	0	0	0	0	0	0	0	0
HD, ES&H (Defense)	0	0	0	0	0	0	0	0	0	0	0	0
ND, Emergency Management	0	0	0	0	0	0	0	0	0	0	0	0
NN, Program Direction	0	0	0	0	0	0	0	0	0	0	0	0
NT, Intelligence	0	0	0	0	0	0	0	0	0	0	0	0
SUBTOTAL AEDA	0	0	0	0	0	0	0	0	0	0	0	0
ALL NON-AEDA	0	0	0	0	0	0	0	0	0	0	0	0
TOTAL S&S CROSSCUT	0	0	0	0	0	0	0	0	0	0	0	0

Figure IV - 3.8
Ten-Year Safeguards & Security Crosscut Program Analysis

4. INFORMATION MANAGEMENT

a. Introduction. In support of the Program Offices, Information Management (IM) crosscut information will be collected from Departmental Elements as part of the FY 1999 DOE Field Budget Call.

(1) Purpose. The Department has fiscal responsibility for seeing that IM resources, which consume nearly 10 percent of the DOE budget, are managed effectively as a corporate asset by the programs they support.

(2) Information Management Crosscut Process Overview. Information being requested through the Field Budget Call will identify IM planning estimates in a consistent manner across diverse programs and organizations. One information management planning schedule is required this year through the Field Budget Call process. The Information Management (IM) Planning Estimates Schedule will be used to capture total planned IM dollars and Federal full time equivalency (FTE) estimates for the site or organization for the Past Year (PY), Current Year (CY), and Budget Year (BY). These are reported by specific categories and should capture resource estimates for all IM related activities, except Records Management. While Records Management is an IM activity, planning estimates are not required by OMB under Circular A-11.

b. Administrative Instructions.

(1) The IM Planning Estimates Schedule should be prepared using a word processing package such as WordPerfect or Microsoft Word, or using a spreadsheet package such as Excel. Please identify the software used on the diskette, or in the e-mail transfer note.

(2) Three paper copies and one electronic copy of the schedule are required from field sites: one paper copy to the Office of Budget, one to the Office of the Associate Deputy Secretary for Field Management, and one to the Headquarters funding program point-of-contact. The electronic copy should be sent to the Departmental Chief Information Officer.

(3) Two copies of the IM Planning Estimates Schedule are required from Headquarters program and staff organizations: one paper copy to the Office of Budget and one electronic copy to the Chief Information Officer. Program organizations are responsible for ensuring their submissions do not duplicate information being submitted by their field sites. Following is a table that shows the submission requirements for each receiving organization. It also identifies the format requested.

Submitting Site or Organization	Receiving Organization Number of Copies Required, Form, and Date Due				
	Operations or Other Cognizant Field Site	Office of Budget	Office of Associate Deputy Secretary for Field Management	Chief Information Officer	Headquarters Funding Program POC
HQ Program and Staff Offices	N/A	1 Paper Copy 4/15/97	N/A	1 Electronic 4/15/97 e-mail or diskette	N/A
Operations Offices and other DOE Field Sites	N/A	1 Paper Copy 4/15/97	1 Paper Copy 4/15/97	1 Electronic 4/15/97 e-mail or diskette	1 Paper Copy 4/15/97
Labs/M&O, M&I, and Other Contractors	Set by that office in separate instructions	1 Paper Copy 4/15/97	1 Paper Copy 4/15/97	1 Electronic 4/15/97 e-mail or diskette	Coordinated through cognizant Opns/Field Offices

(4) The IM Planning Estimates Schedule must be submitted to the Departmental Chief Information Officer electronically no later than 4/15/97. Electronic submissions should be sent to James F. King, HR-42 (James.King@hq.doe.gov). Laboratory, Management and Operating (M&O), Management and Incentive (M&I), and other contractor submissions should be submitted through the cognizant Operations Office. Other DOE field sites should submit directly to the Chief Information Officer, unless Headquarters coordination is required by their sponsors.

(5) Operations and field offices are to coordinate the submission process for their respective sites and review and maintain copies of the schedule, either in paper copy or electronic form. They are also responsible for coordinating the submission of additional copies to program offices, if required.

c. IM Planning Estimates Schedule - This schedule is used to collect planning estimates for the acquisition, operation, and use of information systems and their components from each DOE site and Headquarters Organization. It will serve two purposes for the Department: (1) provide a tool to coordinate and oversee the acquisition of automatic data processing equipment, telecommunications, and other information technology to manage information resources, as required by the Paperwork Reduction Act of 1980;

and (2) roll up into a Departmentwide report required by OMB for these planning estimates under Circular A-11.

(1) Data provided on this schedule should include planned obligations for information technology activities that encompass planning (requirements, feasibility, and benefit-cost studies), system design, development, and acquisition; voice, data and video telecommunications requirements regardless of whether or not they are associated with an information system installation, operation, maintenance, or support; and all automatic data processing equipment as the term is defined in section 111 of the Federal Property and Administrative Services Act of 1948 (40 U.S.C. 759) and applicable GSA regulations (41 CFR chapter 21). Identify the dollar value of the resources required to support all site IM activities in each category as described below. Show only DOE costs or collections. Do not include costs for Records Management activities on this schedule as it is not required by OMB.

(2) Provide the following identification information.

Field Site or HQ Program/Office Name:
Field Site or HQ Program/Office Code:
Cognizant Operations/Field Office Code (if applicable):

Field Site or HQ Program/Office IM POC Name:
Telephone Number:

Field Site or HQ Program/Staff Office Budget Office POC Name:
Telephone Number:

(3) Following are definitions for the funding information required in each category of the table.

1. Equipment - This is any equipment or interconnected system or subsystem of equipment used in the automatic acquisition, storage, manipulation, management, movement, control, display, switching, interchange, transmission, or reception of data or information. These funds are for capital investments for equipment for data processing and telecommunications. Examples of computing and telecommunications equipment are listed below. These are examples and should not be considered an all inclusive listing.

   Computing equipment:
   - supercomputers, mainframes, minicomputers, microcomputers

- ancillary equipment, such as disk drives, tape drives, plotters, printers, storage and backup devices that are cable-connected to computers
- digital imaging equipment, optical storage and/or retrieval equipment (e.g., optical character recognition devices, computer-generated microfilm and other data acquisition devices)
- office automation equipment designed for use in conjunction with or controlled by a computer system
- Not included are typewriters, copiers, calculators, microfilm/microfiche equipment, or furniture.

Telecommunications equipment:

- analog and digital private branch exchanges (PBXs)
- telecommunications networks and related equipment such as voice communications networks, data communications networks, local area networks, terminals, modems, data encryption devices, fiber optical and other communications networks, packet switching equipment, terrestrial carrier equipment (e.g., multipliers and concentrators)
- lightwave, microwave, or satellite transmission and receiving equipment
- telephonic (including cellular and other hand held devices) equipment
- facsimile equipment
- videoconferencing equipment

A. Capital Purchases (=>$25K) - DOE defines a capital investment as an asset that costs $25 thousand or more and has a lifecycle of two years or more. This includes purchases and leases of equipment with either capital investment funds or operating expense funds.

B. Other Equipment Purchases/Leases (<$25K) - This includes the purchase or lease of equipment listed above that is not considered a capital investment and that is acquired with operating expense funds.

2. Software - Any software, including firmware, specifically designed to make use of and extend the capabilities of Federal Information Processing equipment as defined under capital investments. Software investments to be included are as follows.

- system programs (e.g., control and library programs, assemblers, compilers, interpreters, utility programs, sort-merge programs, and maintenance-diagnostic programs
- application programs
- commercial-off-the-shelf (COTS) software (e.g., word processing, communications, graphics, file management and database management system software)

- independent subroutines, related groups of routines, sets or systems of programs
- databases
- software documentation

A. Capital Purchase (=>25K) - This includes software purchases (including one-time obligations for long-term licenses) or leases for software investments described above. Include purchases and leases of software being made with either capital investment funds or operating expense funds. A capital investment is an asset that costs $25 thousand or more and has a lifecycle of two years or more.

B. Other Software Purchases/Leases (<$25K) - This includes the purchase or lease of software costing less than $25 thousand listed above that are not considered as capital investments and are acquired with operating expense funds.

3. Services - This is funding for any service, other than support services, performed or furnished by using the equipment or software as defined in 1 and 2 above. Services include teleprocessing, local batch processing, electronic mail, voice mail, centrex, cellular telephone, facsimile, and packet switching of data.

4. Support Services - This is funding for any commercial services used, including maintenance, (laboratories and contractors) in support of equipment, software, or services as defined in 1, 2, or 3 above.

Personnel-Related Costs - Information management activity include the labor cost of personnel who create or configure computer-based tools, applications, or systems as deliverable assets for others to use. These assets provide functions that generate, receive, store, or transmit information. Information management labor cost of those who use the computer related asset's to obtain information. An example would be an engineer developing a computer model where the only deliverable product (asset) is the output of the model. This would not be an information management reportable activity.

Contract/Subcontract Costs - This includes contracts/ subcontracts where the entire contract or only specific tasks within the contract may be IM related. Those tasks that are IM related are to be reported in this section.

Examples of support services are:
- data entry in information management organizations
- information technology training

- planning for information management activities (e.g., planning documents, scoping studies, requirements definition, requirements analysis, alternative analysis, conversion studies)
- facilities management of information technology
- system analysis, design, development, enhancement, and maintenance
- computer performance evaluation and capacity management
- compliance activities
- custom software development
- custom and commercial software operations and maintenance
- computer center operations
- telecommunications operations such as telephone, data, facsimile, video, and radio
- end user support and training
- data administration/standards

5. Supplies - This includes any consumable item designed specifically for use with the equipment, software, services, or support services as defined in 1, 2, 3, and 4. above.

6. Personnel (compensation/benefits) - This includes the salary compensation and benefits for Government personnel identified in section 10 below, who perform information technology functions 51 percent or more of their time. Functions include, but are not limited to, policy, oversight, management, systems development, operations, telecommunications, computer security, contracting, and secretarial support. Personnel in user organizations who simply use information technology assets incidental to the performance of their primary functions are not to be included.

7. Intra-Governmental Payments - Payments for all information technology services within agencies, between executive branch agencies, judicial and legislative branches, and State and local governments are required in this item. Federal Telecommunications System 2000 (FTS 2000) payments are to be identified in 7A; all others should be included in 7B.

8. Intra-Governmental Collections (-) - Collections for all information technology services within agencies, between executive branch agencies, judicial and legislative branches, and State and local governments are required in this item. FTS 2000 collections are to be identified in 8A; all others should be included in 8B.

9. Total - Total of dollars included in categories 1 through 8 for each year.

10. Staffing Resource Profile - Enter the Full Time Equivalent (FTE) staff in work years required to support the activity described. These FTEs should

perform IM-related tasks 51 percent or more of their time and not just be users of the information technology assets incidental to the performance of their primary function. (Report Federal employees only.)

11. B&RC Distribution Profile - Using the B&RC code listing in the Decision Unit/B&R Classification Code Crosswalk section of the Unified Field Budget Process Manual from the Call, allocate the total funding requirements identified in category 9 of the Funding Profile to the appropriate DOE funding program or reimbursable activity. This is required for the PY, CY, and BY.

(4) A sample format follows that can be copied and used for input, if desired. It was prepared in WordPerfect table format. You may also submit the information using a spreadsheet package.

Information Management (IM) Planning Estimates Schedule

Field Site or HQ Program/Office Name:
Field Site or HQ Program/Office Code:
Cognizant Operations/Field Office Code (if applicable):

Field Site or HQ Program/Office IM POC Name:
Telephone Number:

Field Site or HQ Program/Staff Office Budget Office POC Name:
Telephone Number:

Planning Estimates: (in thousands of dollars)

Category	**PY**	**CY**	**BY**
1. Equipment A. Capital Purchases (= >25K) B. Other Purchases/Leases (<25K)			
2. Software A. Capital Purchases (= >25K) B. Other Purchases/Leases (<25K)			
3. Services			
4. Support Services			
5. Supplies			
6. Personnel (Government)			
7. Intra-Governmental Payments A. FTS B. Other			
8. Intra-Governmental Collections A. FTS B. Other			
9. Total			
10. Work years (FTEs) (Government only)			
11. B&RC Distribution (Distribute totals in Category 9 by B&RC)			